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National Institute of Corrections

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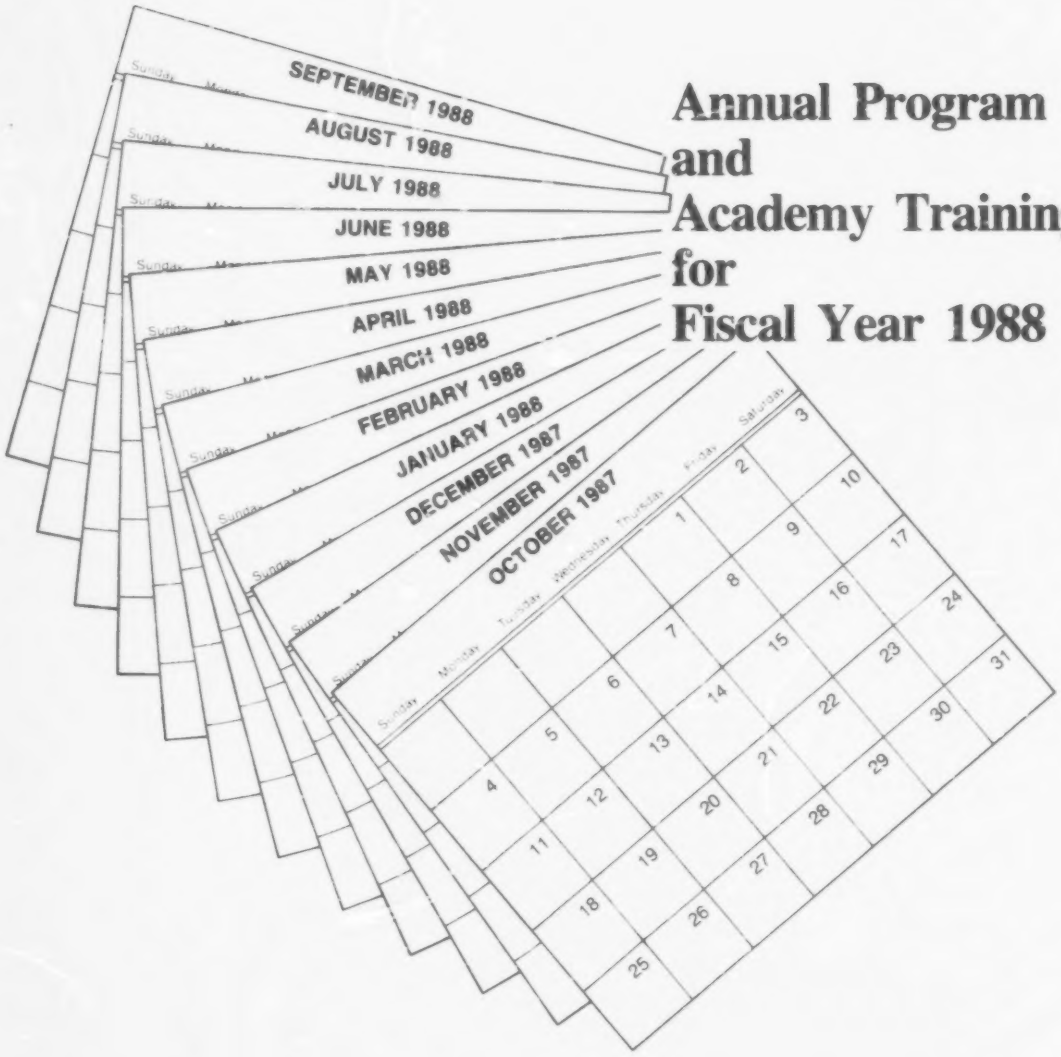

Annual Program Plan and Academy Training Schedule for Fiscal Year 1988

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National Institute of Corrections

The National Institute of Corrections is a national center of assistance to the field of corrections. The goal of the agency is to aid in the development of a more effective, humane, constitutional, safe, and just correctional system.

The National Institute of Corrections is both a direct-service and a funding agency serving the field of corrections. Its five legislatively mandated activities are: (1) training; (2) technical assistance; (3) research and evaluation; (4) policy and standards formulation and implementation; and (5) clearinghouse. The basic objective of the Institute's program is to strengthen corrections at all levels of government, but primarily at the state and local levels.

As established by the enabling legislation, the Institute's policy is determined by an active 16-member nonpartisan Advisory Board appointed by the Attorney General of the United States. The Board is composed of six federal officials serving ex-officio, five correctional practitioners, and five individuals from the private sector who have demonstrated an active interest in corrections. Through public hearings, the Advisory Board regularly solicits the opinions of correctional practitioners and others involved in the criminal justice process prior to targeting the Institute's fiscal year funds.

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U.S. Department of Justice
National Institute of Corrections

Annual Program Plan and Academy Training Schedule for Fiscal Year 1988

July 1987

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NIC Technical Assistance Services

Short-term technical assistance involves sending a correctional expert to the state or local site to assist agency personnel in addressing a specific issue or problem. **Long-term technical assistance** provides financial assistance awards to an agency so the agency can obtain the necessary expertise.

To request onsite, **short-term assistance,** send a letter on official stationery to the Institute outlining the problem. More detailed instructions are given in the Technical Assistance discussions in this document.

To apply for **long-term assistance,** the agency administrator must submit a completed OMB Form 424, Federal Assistance, prepared in accordance with the instructions given in this document. A copy of OMB Form 424 is included at the end of this document.

NIC Training Services

To apply for participation in a training program to be offered by the National Institute of Corrections' National Academy of Corrections in Boulder, Colorado, refer to the Academy section of this document for course descriptions and complete the application form included at the end of this document. If additional application forms are needed, the one in this document may be copied.

Training will also be conducted regionally and at state and local sites to increase accessibility to practitioners. See the National Academy of Corrections section of this document for Outreach programs available for agency-based delivery. See the Jails Division, Prisons Division, and Community Corrections Division sections of this document for descriptions of seminars of special interest to those constituency groups.

NIC Information Center

The National Institute of Corrections Information Center interacts with all Institute program areas. Practitioners, policymakers, and others with questions about correctional programs, services, or operations aaywhere in the country may request information or materials from the Information Center.

The Information Center maintains a computerized bibliographic database of its library, which specializes in unpublished materials developed by state and local agencies. The Information Center also works closely with other organizations, clearinghouse services, and operating agencies to find the most accurate, current, and useful information.

The information service is free to practitioners. When writing or calling the Information Center, requesters should indicate:

- The materials or information they are seeking.
- Why the information is needed (if it would help the Information Center staff gain perspective on a broad topic area).
- How soon the information is needed.
- In the case of written materials, the author, date, title, and publisher, if known.

For information, contact the NIC Information Center, 1790 30th Street, Suite 130, Boulder, CO 80301; telephone 303–444–1101.

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Foreword

This document describes the National Institute of Corrections' program for fiscal year 1988, which begins October 1, 1987 and ends September 30, 1988. The document contains information about the Institute's technical assistance and training programs, information services, and policy and program development activities.

The Institute's fiscal year 1988 program is largely a continuation of services and activities begun in earlier years. Technical assistance and training continue to constitute the largest part of the program in response to the needs of the correctional field.

The Institute will continue to serve state and local corrections in a facilitative manner. Practitioners are urged to familiarize themselves with the Institute's services and resources and to call upon the Institute when it can assist in advancing agency programs and operations.

Raymond C. Brown

Raymond C. Brown, Director
National Institute of Corrections
July 1987

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Introduction

This document is the National Institute of Corrections' program statement for fiscal year 1988, which begins October 1, 1987. It explains the Institute's services—technical assistance, training, and information clearinghouse—as well as program development and evaluation projects to be conducted in the new fiscal year.

The document describes the overall services and application procedures of the National Institute of Corrections (NIC). Specific services available and ongoing activities are then presented by the Institute program divisions that will coordinate the efforts: Jails, Prisons, and Community Corrections. Training programs to be conducted by the National Academy of Corrections in Boulder, Colorado, and/or at state and local agencies are then described under the Academy section of this document. Application forms for applying for (1) financial assistance, or (2) individual participation in NIC-sponsored training programs are included at the end of this document.

Practitioners are encouraged to read the **Services and Application Procedures** section of this document as well as the Jails, Prisons, or Community Corrections section that is of particular interest. Practitioners should also review the National Academy of Corrections section since training described there is available to administrators, managers, and trainers in all areas of corrections.

Services and Application Procedures

Technical Assistance

Most of the Institute's 1988 program consists of providing technical assistance to state and local correctional agencies.

The technical assistance program is administered by each of the Institute's program divisions—Jails, Prisons, and Community Corrections—and consists of three primary types of technical assistance: **short-term** assistance, **long-term** assistance, and **targeted** assistance. Short- and long-term technical assistance are largely responsive to critical needs and problems identified by state and local correctional agencies, while targeted assistance involves structured technical assistance/technology transfer programs. In any case, assistance is tailored to the individual requirements and needs of the state or local agency.

Short-Term Technical Assistance

Short-term, onsite technical assistance involves an NIC staff member or a consultant serving in an advisory capacity and/or working with the staff of the state or local agency in assessing programs and operations; implementing advanced practices; and improving overall agency management, operations, and programming.

Short-term technical assistance from the Institute is available to all adult correctional agencies in the United States and its commonwealths and territories. In some cases, it is also available to professional associations and oversight or advisory bodies that are working toward improvements in corrections.

This form of technical assistance provides expertise to respond to existing operational problems. Assistance is provided by an NIC staff member or an experienced consultant, who is selected by and sent onsite to the requesting state or local agency to work with agency staff on one or more specific problems. The assistance responds directly to the needs identified by the requesting agency. Assistance is usually provided for a period of 3 to 5 days, but for no more than 14 days.

All onsite technical assistance efforts result in a written report to the requesting agency with detailed recommendations for addressing the problem(s) for which assistance was sought. Examples of short-term technical assistance include sending a consultant to a local jail to evaluate its security operations; assisting a probation agency in analyzing caseloads; or sending an expert to describe the state of the art in correctional architecture to a group of public policymakers.

Long-Term Technical Assistance

Long-term technical assistance involves providing funding to an agency upon approval of an assistance application (Form 424) to address or obtain assistance with operational problems, programs, and practices.

The Institute provides monetary assistance to the requesting state or local agency to allow the agency to develop or improve systems and operations using experienced consultants and/or internal staff. The tasks to be undertaken are more complex and require more effort than can be provided in 14 days. Most of these projects are conducted over a time period of 3 to 12 months.

The total cost of each long-term effort cannot exceed $25,000, and each project must have value in and of itself, since the Institute cannot make a commitment to fund second or subsequent phases of a single project. Examples of this form of assistance would be providing support to a probation agency to implement an intensive supervision program or to a local jail to update its policies and procedures.

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Targeted Technical Assistance

This form of technical assistance is available in specific areas in which the Institute has done developmental work and has established a coordinated, multifaceted approach to assisting agencies in successful program implementation. This assistance is designed to guide implementation of progressive change *before* the issue becomes a problem. Activities frequently include short-term technical assistance, training, peer consultation, and information dissemination as the state or local agency participates in the targeted program. An example of targeted technical assistance is the Jail Division's **Planning of New Institutions** program.

Obtaining Technical Assistance

The technical assistance services that will be available in fiscal year 1988 are described in more detail in the subsequent program sections of this document: Jails Division, Prisons Division, and Community Corrections Division. In most instances, the NIC division staff coordinating the program will determine, in consultation with the applicant, which of the above forms of assistance would be most appropriate in responding to the agency's request.

Persons seeking long-term technical assistance must complete OMB Standard Form 424, Federal Assistance, and follow the instructions given in the **Financial Assistance Program** discussion below. The instructions for requesting short-term technical assistance are given under each program section.

The National Institute of Corrections maintains a register of experienced consultants who are qualified to provide technical assistance in most areas of corrections. Agencies receiving technical assistance may select a consultant from this register, but can also request that assistance be provided by a particular individual who is not on the register and is deemed qualified by NIC to provide the assistance.

Onsite technical assistance and financial assistance are provided at no cost to eligible organizations.

Financial Assistance Program

As previously discussed, technical assistance can best be rendered in some cases by providing financial assistance to the requesting agency. The Institute's policy and program development activities are also carried out through the financial assistance program.

Those eligible for financial assistance from the National Institute of Corrections include state agencies, general units of local government, educational institutions, public and private agencies, federal agencies, organizations, and individuals. Private agencies providing correctional services under contract to government agencies are eligible for assistance from the Institute only if their application is endorsed and forwarded through the government agency to which they provide those services.

Because of limited resources, funds are directed primarily to correctional agencies at the state and local levels. All services and financial awards are provided in accordance with federal regulations.

To apply for financial assistance, the applicant must complete OMB Standard Form 424, Federal Assistance, a copy of which is included at the end of this document. Assistance applications must be submitted in six copies to the National Institute of Corrections, 320 First Street, N.W., Room 207, Washington, D.C. 20534. **A cover letter must identify the responsible audit agency for the applicant's financial accounts.** Detailed procedures for preparing financial assistance applications are given in the *NIC Guidelines Manual: Instructions for Applying for Federal Assistance*, which can be obtained by contacting the Institute.

Applications should be concisely written, typed double spaced, referenced to the project by the title and number given in this document, and received at the Institute by the deadline given in this document. At least one of the six copies of the application must bear the **original** signature of the administrator or chief executive officer of the applicant organization.

Applications must detail the project, objectives, and the plan for implementing the proposal. Projected costs and a description of the qualifications of the applicant(s) must be included. The projected cost of conducting the project is a critical element in the decisionmaking process, and the Institute urges applicants to keep indirect costs, in particular, to a minimum.

State Review for Technical Assistance Financial Awards

In accordance with Executive Order 12372, which went into effect October 1, 1983, states have the option to establish a single point of contact to review and comment on applications for federal funding that propose to have an effect within the state. This applies to applications submitted to the federal government by state and local agencies within the state, as well as to those submitted by any organization (in-state or out-of-state) that propose to have an effect within the state. For example, if an organization located in a state that *does not* require state review seeks NIC funding to provide service to an agency located in a state that *does* require review, the applicant organization must "clear" the application through the designated agency in the state to be affected.

For the National Institute of Corrections, the Executive Order applies only to applications for technical assistance awards. The following states and jurisdictions have elected to exercise the option to review applications for technical assistance monies from the Institute.

Alabama	Kentucky
Arizona	Louisiana
Arkansas	Maine
Connecticut	Michigan
Delaware	Missouri
Florida	Montana
Georgia	Nevada
Hawaii	New Hampshire
Indiana	New Jersey

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New Mexico	Tennessee
New York	Vermont
Ohio	Virginia
Oklahoma	West Virginia
Oregon	Wyoming
Pennsylvania	District of Columbia
South Carolina	Northern Mariana Islands

Agencies located in the above jurisdictions, and organizations seeking an NIC technical assistance award to work in these jurisdictions, must submit one copy of their application for **technical assistance** monies (OMB Standard Form 424, Federal Assistance) to the state "single point of contact" simultaneously with submitting the proposal to the Institute. The Institute should be advised in the cover letter from the applicant that a copy of the proposal was sent to the state agency. (For guidance relating to the "single point of contact" in the above-listed states, contact the NIC Grants Control Office.)

Application Review Procedures

Applications for financial assistance are reviewed by a team of Institute staff members and are subsequently approved or disapproved by the Director of the National Institute of Corrections.

Four categories of criteria are used in reviewing applications for financial assistance: programmatic, organizational, project management, and financial/administrative. Among the specific criteria used to evaluate the applications are:

- Indication of a clear understanding of the problem to be addressed, the key issues underlying the problem area, and the relevance of the proposed project.
- Well-defined project objectives, tasks, and resources necessary to meet the objectives.
- Potential for using the results of the project in other undertakings or programs.
- Background, experience, and expertise of the proposed project staff, including any subcontractors.
- Sufficient and realistic time commitments from key project staff.
- Reputation or recognized skill of the applicant organization and any proposed subcontractors.
- Description of all elements and tasks of the project, and realistic timeframes necessary to complete the tasks.
- Technical soundness of the design and methodology for achieving the project goals.
- Financial and administrative integrity of the proposal, including adherence to federal financial guidelines and processes.
- Adequate detail and narrative about the cost elements in the proposed budget.
- Provisions for adequate evaluation of the effectiveness of the project.

When the proposed cost of a project is $100,000 or more, a panel of reviewers from outside the Institute participates in evaluating the applications. The review panels are composed of correctional practitioners, academicians, and qualified citizens who have been approved by the National Institute of Corrections Advisory Board.

NIC Information Center Service

The National Institute of Corrections Information Center service is closely related to the technical assistance services, but also supports all other Institute programs. Practitioners, policymakers, and others with questions related to correctional programs, services, or operations anywhere in the country may request information or materials from the Information Center.

The Information Center maintains a computerized bibliographic database of its library, which specializes in unpublished materials developed by state and local agencies. In addition to drawing from its own extensive collection, the Information Center staff works closely with other organizations, clearinghouse services, and operating agencies to obtain the most accurate, current, and useful information on corrections.

Information Request Procedures

Information Center services are free. To request information, write or call the NIC Information Center, 1790 30th Street, Suite 130, Boulder, Colorado 80301; telephone 303-444-1101. Requesters should specify:

1. The materials or information they are seeking.
2. Why the information is needed (if it will help the Information Center staff gain perspective on a broad topic area).
3. How soon the information is needed.
4. In the case of requests for specific written materials, the author, title, date of publication, and publisher, if known.

In responding to requests, the Information Center necessarily gives highest priority to correctional administrators and personnel; federal, state, and local legislators and officials; and representatives of the judiciary.

Training Services

The National Academy of Corrections began operation in Boulder, Colorado, on October 1, 1981, and is in its sixth year of coordinating National Institute of Corrections training for state and local correctional practitioners.

Courses to be conducted at the Academy during the 1988 fiscal year and Outreach programs that are available for presentation at the state or local level are described in the National Academy of Corrections section of this document. Special issue seminars of specific interest to jail, prison, and community corrections practitioners are described in those respective sections of this document.

A separate Academy training schedule is available from the NIC Academy, 1790 30th Street, Suite 430, Boulder, Colorado 80301; telephone 303-497-6060. Additional announcements may be issued by the Institute to advise practitioners of specific training opportunities available.

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Facilities and Accommodations

Courses offered by the Academy in Boulder, Colorado, will be conducted at hotels and conference centers. Beginning October 1, 1987, all participants in Academy-based programs will be required to reside at the training site for the duration of the program regardless of the proximity of their homes to the training site. The Academy will provide detailed information concerning air travel, ground transportation, and lodging arrangements for each course upon notification to the applicant of his/her acceptance for participation.

Costs of Training

There are no registration, tuition, or materials fees associated with Institute training. Additionally, for courses offered by the Academy in Boulder, Colorado, the costs of participants' air travel, lodging, and meals will be paid by the National Institute of Corrections. Those traveling by air are only responsible for the costs of ground transportation to and from their airport of departure and to and from Denver's Stapleton International Airport.

Application Procedures

Individuals who meet the eligibility requirements and are interested in participating in an NIC training program should complete the application form at the end of this document. (The form may be reproduced if additional copies are needed.)

Application forms must indicate the preferred date, course number, and title of the training program. They must be endorsed by the administrator or chief executive officer of the agency and must be received by the NIC Academy at least eight weeks before the start of the desired program.

To maximize the benefits of training for each participant, enrollment is limited to 24 individuals per course. Receipt of all application forms will be acknowledged.

The Institute has a policy to ensure that no individual is discriminated against on the basis of race, color, national origin, sex, or handicap in programs or activities funded or conducted by the Institute.

See the National Academy of Corrections section of this document for a listing of scheduled courses and eligibility criteria. See the Jails, Prisons, and Community Corrections Divisions sections for listings of special issue seminars.

Jails Division

The Jails Division was established in June 1977 in Boulder, Colorado, to serve as an identifiable source of assistance to the nation's jails. Creation of the "NIC Jail Center" marked the first time federal funding was specifically targeted to solving the vast number of problems in the nearly 3,400 jails throughout the country.

Over 234,000 people are incarcerated in the nation's county jails on any given day. The collective jail population is almost half as large as the nation's total prison population.

Jails must operate against unique requirements. Unlike state prisons, jails have a 24-hour-a-day booking/release function to respond to the jurisdiction's immediate detention needs. They detain persons awaiting trial and those whose legal status has not been determined, but who must be held awaiting court disposition. Like state prisons, they are responsible also for the custody and care of sentenced individuals.

Many jail facilities are antiquated, poorly designed, and suffer a serious shortage of space. Programs and other activities for inmates are limited or nonexistent. Jail crowding continues to increase as unprecedented numbers of defendants are being held before trial; sentenced offenders are backed up in local jails awaiting space at crowded state or federal prisons; and recently enacted legislation mandates jail time for certain offenses.

An estimated 200 new county jail facilities are currently under construction in the United States at a collective cost of almost $2 billion. The new construction and renovation projects represent an average increase of 165 beds per facility, yet many of these new facilities will be crowded when they open.[1] Jail construction costs continue to escalate, while local resources are diminishing.

Simultaneously, jail inmates are pressing legal challenges to all aspects of jail operation, management, policy, and practices. Approximately 400 local jails in at least 46 states are currently engaged in some form of litigation.[2] A recent study[3] found that 42 percent of 255 small jails (50 beds or less) constructed between 1974 and 1984 are facing, or have faced, lawsuits. Collectively 621 jails in 363 jurisdictions hold a total of 173,155 inmates, or about 74 percent of all jail inmates. These facilities are operating at 102 percent of rated capacity; 22 percent of them are under court order.[4]

To address the many diverse problems of the nation's jails, the National Institute of Corrections has provided technical assistance, training, and information services to local jurisdictions since its first year of funding. The Jails Division has evolved over the years to assume a leadership role for the field. The podular, direct-supervision model of architectural design and inmate management has become the state of the art in jail

1. Kimme Planning and Architecture, survey conducted under grant number HQ-0 from the National Institute of Corrections, October 1985.
2. National Jail Project, American Civil Liberties Union, *Jail Litigation Status Report*, 1985.
3. Kimme.
4. U.S. Department of Justice, Bureau of Justice Statistics, *Jail Inmates 1984*, May 1986.

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philosophy. Advances in population projection and inmate data analysis allow the Jails Division to be of assistance to those jurisdictions that are experiencing jail crowding problems and looking toward new construction or expansion of facilities.

In fiscal year 1988, the Jails Division's activities will focus on technical assistance programs related to jail planning and construction; jail population projections; and podular, direct-supervision jails. Each of the three vehicles for providing technical assistance—short-term, long-term, and targeted technical assistance—will be used to provide services to the nation's jails. (See the descriptions of these three forms of assistance on page 1.) Some of the targeted technical assistance efforts will include training conducted at the National Academy of Corrections in Boulder, Colorado, and special issue seminars will be presented on the subjects of jail design review and transition, planning of new institutions, and corrections as part of county government.

Short- and Long-Term Technical Assistance

Jail Management, Operations, Services, and Programs (88J01)

The Jails Division's technical assistance program represents the Institute's continued commitment to support the individual efforts of sheriffs, jail administrators, city and county governing bodies, state agencies, and private organizations in their strides to improve jail operations. Technical assistance will be provided to local jails and jail-related agencies to improve management, operations, services, and programs. Private agencies providing correctional services under contract to government agencies are eligible for assistance from the Institute only if their application is endorsed and forwarded through the government agency to which they provide those services.

Assistance will be available in, but not limited to, the following areas.

Jail Operations

Legal issues.

Staffing analysis.

Security.

Basic jail operations.

Special management inmates.

Inmate classification.

Jail crowding.

Training curriculum development and delivery strategies.

Specialized staff training.*

Jail Planning and Design

Planning for new construction and renovation.

Opening new jails.

Designing and managing podular, direct-supervision jails.

Jail Programs and Services

Use of community resources.

Work release/pre-release programs.

Use of volunteers.

Due to the extremely high demand from jails for these technical assistance services, and to the limited resources of the Institute, each request for technical assistance will be carefully evaluated to determine the best method of meeting the needs of the jail. Each request for technical assistance will be followed up by a telephone call from Institute Jails Division staff to discuss the nature of the problem for which assistance is sought.

In reviewing each request, the Institute staff will consider:

- Whether the request can be adequately handled directly by Institute staff or by sending written information from the NIC Information Center.
- Whether state or other appropriate resources are available to adequately provide the requested service.
- Whether the Institute should contract with an experienced consultant to work onsite with local jail officials for up to 14 days to resolve the specific issues or problems.
- Whether the Institute should provide funding to the jail or requesting official body to purchase assistance for a longer period of time. Financial assistance is generally available for up to 1 year.

The criteria that will be used to determine the Institute's method of responding to the request for assistance include:

- The costs and time that would be necessary to complete the project.
- The requesting jail's history of prior requests for technical assistance services (e.g., types, number, progress made on implementing recommendations).
- The clarity of the request, including how receiving technical assistance will benefit the jail, staff, and inmates.
- The consistency of the request with the appropriate role of the federal government.

Application Procedures

There are no deadlines for submitting requests for technical assistance, but, since funds are limited, it is advisable to apply for assistance soon after a need is identified. The procedures for requesting assistance follow.

1. Jails, county commissions, and related agencies should request technical assistance in writing on official stationery. The letter should be signed by the chief official of the jail, county commission, or other requesting body. Requests related to the current management or operation of the jail must be signed by the individual legally responsible for the operation of the facility (e.g., sheriff, appointed administrator). The written request should:
   - Identify the problem(s) for which assistance is sought.

*The NIC Jails Division can provide onsite training in local jurisdictions on the subjects of planning of new institutions, and how to open new institutions. The Institute provides the trainers and the training materials. The local, requesting site is required to provide the training room.

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- Suggest a plan or specific action(s) to meet the problem(s).
- Explain why assistance must be obtained at the federal level.
- State the anticipated number of days that the assistance would be needed.

Letters requesting technical assistance should be sent to the Technical Assistance Manager, NIC Jails Division, 1790 30th Street, Suite 440, Boulder, Colorado 80301; telephone 303-497-6700.

2. Upon receipt of the written request by the Institute, a division staff member will be assigned to review the request and will telephone the requesting agency contact person to discuss the need and possible Institute responses.
   - If the NIC staff member determines that short-term technical assistance would be appropriate, its delivery will be arranged immediately.
   - If the NIC staff member believes that long-term technical assistance may be appropriate, the requesting agency will be provided with information and materials necessary for submitting a formal application, including OMB Standard Form 424 and the *NIC Guidelines Manual: Instructions for Applying for Federal Assistance*. **Note that applications must be submitted to the NIC Washington DC office, as discussed below.** Upon receipt of the formal application, the Jails Division will assign a team of staff members to evaluate the application against the previously stated technical assistance criteria. If the Jails Division believes that financial assistance is both possible and appropriate, the application will be presented to the Institute Director for final approval or disapproval. Once the formal assistance application has been received by the Jails Division, a decision is normally made within 60 days.
   - If funding is not recommended by the division or the application is not approved by the NIC Director, a division staff member will discuss other possible options with the requesting agency. These might include the agency's modifying the application, receiving short-term technical assistance, or obtaining assistance through resources other than NIC.

Those familiar with the Institute's award process may also make a direct request for financial assistance (long-term technical assistance), using Standard Form 424. Six copies of the application, prepared in accordance with the instructions given on page 2 (under **Financial Assistance Program**), should be submitted to the National Institute of Corrections, 320 First Street, N.W., Room 207, Washington, D.C. 20534.

Targeted Technical Assistance

Targeted technical assistance programs involve a coordinated, step-by-step approach to assisting a jurisdiction in developing successful solutions to complex problems. Activities frequently involve a mix of short-term technical assistance, training, and information exchange. Areas targeted as major efforts of the Jails Division for fiscal year 1988 include planning of new institutions; jail capacity forecasting and population management analysis; and podular, direct-supervision jail design and inmate management.

Planning of New Institutions (88J02)

The 1960s and 1970s were periods of heavy litigation concerning prisoners' rights and conditions of confinement. One of the responses to this litigation was the development and promulgation of jail standards. Many states developed and adopted minimum standards for the operation of jails, and many professional groups—including the American Medical Association and the American Correctional Association—developed their own standards as well as procedures for certification.

According to a recent Bureau of Justice Statistics Bulletin,[5] 3,338 local jails in the United States were holding approximately 234,500 inmates on an average daily basis in 1984. This represented more than a 50 percent increase over the 158,394 inmates recorded in the *1978 National Jail Census* only six years earlier. This same rate of increase is expected to continue.

Data from the *State of Our Nation's Jails*, a 1982 research effort conducted by the National Sheriffs' Association and partially funded under a grant from the National Institute of Corrections, indicated that 874 of the nation's jails were constructed prior to 1940. Not surprisingly, the study also noted that the 2,664 respondents to the survey rated the need to modernize their jail facilities as second only to personnel issues.

The development of jail standards, coupled with rapidly increasing jail populations and the need to renovate or replace antiquated facilities, gave rise to an unprecedented level of new jail construction in the United States. In 1970, when reducing crime rates was a national priority, Part E of the Omnibus Crime Control and Safe Streets Act was enacted. This legislation made federal funds available for construction of new state and local correctional facilities and encouraged advanced practices in facility planning and design. Thus began the surge in correctional facility construction, a movement that continues today despite the current nonavailability of federal construction monies for the states and localities.

In response to this increase in new construction and to assist jurisdictions that were building new jails, the Institute developed a "How to Open New Institutions" (HONI) training program in 1977. During the first year of this program, it became evident that while jurisdictions needed assistance with transitioning into their new jails, their more serious problems were related to facility design and construction. Most of the new jails differed only slightly from the facilities they were replacing. Stripped of their electronics and high-technology accoutrements, the new facilities were strikingly similar in both design and inmate management to the failed jails of the past.

One evident problem in designing and constructing new jails is the separation of the funding body and the operating body. Most jails are funded by one group of elected officials—the

5. U.S. Department of Justice, Bureau of Justice Statistics, *Jail Inmates 1984*, May 1986.

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county commission—but are operated by another, separately elected public official—the sheriff. Problems of coordination between the two groups, as well as lack of general agreement on the role of the jail in the criminal justice system or the community, can result in less than adequate jail planning and design.

To help localities better plan and coordinate their jail construction activities, the Institute developed a **Planning of New Institutions** (PONI) program in 1979. The program was based on the total systems planning model, which involves all related criminal justice agencies, organizations, and community leaders in defining the role of the local jail.

The program initially consisted of training for teams of local officials and focused heavily on design and architectural issues. In response to feedback from program participants, it was subsequently redesigned as a two-phased technical assistance and training effort with a heavier orientation on the planning process and the cooperative roles of participants in reaching a design solution. The first phase consisted of a community meeting conducted in the local jurisdiction; the second phase provided a 1-week training session at the Institute's National Academy of Corrections in Boulder, Colorado.

In fiscal year 1985, the **Planning of New Institutions** program was further expanded to offer a continuum of services that spanned the planning, design, construction, and transition processes. In addition to the community meeting and intensive training, the expanded program included a jail population forecasting service, special issue seminars on "Jail Design Review and Transition," and onsite technical assistance and training in "How to Open New Institutions."

Scope

During fiscal year 1988, the program will consist of four phases, each designed for a particular segment of the planning, design, construction, and transition continuum. Thirty jurisdictions will be selected to participate in Phase I of the program, and, upon successful completion of the first phase, can sequentially progress to Phases II, III, and IV. Jurisdictions that began Phase I in earlier years will also continue through the various phases of the program.

Phase I. NIC Jails Division staff members and/or experienced consultants will spend 1½ days onsite in the local jurisdiction. During the first half day, these individuals will review the existing criminal justice system through interviews with key persons in the system and will review and tour the existing jail to obtain an overall understanding of the local situation. On the second day, a community meeting will be held with representatives of all interested agencies and organizations. The meeting will provide training on selected topics, including constitutional issues related to jail operations, analysis of the community's incarceration requirements, advantages and disadvantages of new facilities, architect selection and relationships, community involvement, alternatives to incarceration, data collection, and a total systems planning process.

Before or during this phase of the program, participating jurisdictions will be given a *Jail Capacity Forecasting and Inmate Sample Workbook*, which consists of a series of data-gathering exercises to be completed by the jurisdiction. Discussed more fully under the **Jail Capacity Forecasting and Population Management Analysis** program later in this section, the workbook guides the collection of jail data to aid in planning.

Phase II. When it is clear that the jail construction project will be funded and the planning effort is demonstrably underway, teams of policymakers from jurisdictions that completed Phase I will attend 1 week of intensive training. The training will cover mission statement development, pre-architectural programming, design issues, staffing patterns, project management, financing alternatives, and construction methods. Three such training seminars will be held at the NIC Academy in Boulder, Colorado, and another two will be held either on a regional or statewide basis in fiscal year 1988.

This phase is open only to jurisdictions that have completed Phase I; to be eligible for participation, those persons who play key decisionmaking roles in the construction project must make a commitment to attend the entire week-long session. These policymakers include the sheriff, jail administrator, a county commissioner, and the county executive or planner.

The National Institute of Corrections will pay the travel and per diem expenses for four persons from each jurisdiction. Two other individuals from the jurisdiction may attend at their own expense. Up to six jurisdictions will be invited to each seminar.

Phase III After the jurisdiction has completed the schematic phase of its facility planning and is preparing construction documents, two key representatives of the jurisdiction can attend an intensive 5-day training program in Boulder, Colorado, on "Jail Design Review and Transition." This seminar will be held twice during the year; two-person teams from 12 jurisdictions will participate in each seminar.

Phase IV. When the jurisdiction has successfully completed the first three phases of the **Planning of New Institutions** program and is within 1 year of opening its new jail facility, a 3-day training session on "How to Open New Institutions" can be presented onsite in the community. This training program addresses special issues related to making the transition to the new or renovated facility and will be presented up to 12 times throughout the year in participating jurisdictions.

Application Procedures

To obtain more detailed information about the **Planning of New Institutions** program and an application packet, contact the Institute's Jails Division, 1790 30th Street, Suite 440, Boulder, Colorado 80301; telephone 303-497-6700.

Jail Capacity Forecasting and Population Management Analysis

Local correctional systems throughout the United States continue to be plagued by a lack of accurate and readily retrievable data on their operations and activities. If available, this information typically could provide correctional administrators and planners with knowledge about the size and characteristics of their jail inmate population, historical local trends creating jail

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crowding pressures, and the implications of current incarceration levels for the future.

Unprecedented incarceration levels are pressuring many cities and counties into either replacing or expanding their existing jail facilities. Frequently counties are pushed by chronic crowding to consider replacing jail facilities that are not even 10 years old. Lacking the data that are essential either to understand the causes of the crowding problem or to accurately project future detention needs for a new facility, localities frequently repeat the same capacity-setting mistakes in designing the new facility that existed in designing the old facility.

Few jurisdictions have the capacity to quantitatively assess how changing local policies, procedures, or judicial practices could possibly reduce the need for costly construction to add bed space. While some jurisdictions have in-house, automated management information systems that are adequate for storing data, most of these systems lack the ability to provide meaningful management and planning data.

Scope

To help local jurisdictions understand the elements that contribute to jail crowding, accurately forecast their future detention needs, and manage the inmate population, the Institute's Jails Division provides computerized data analysis services. Begun in 1985, the data analysis services are intended to help the local jurisdiction plan appropriate responses to crowding—through the development of strategies to ease jail crowding and/or through new construction.

Upon request of local jurisdictions the Jails Division provides a *Jail Capacity Forecasting and Inmate Sample Workbook*, which consists of a series of data-gathering exercises to be completed by the jurisdiction. The workbook guides the collection of 5 years of trend data on facility admissions, days served, inmates held, average daily population, and average length of stay. It also provides for the collection of a statistically correct sample of the inmate population adjusted for seasonality. This sample tracks inmates from booking through release from the facility, providing useful data on the characteristics of inmate flow.

Once the workbook is completed and returned to the Jails Division, the data are subjected to a computer analysis that results in an executive summary of future jail populations and recommended capacities. As necessary and appropriate, a Jails Division staff member or an experienced consultant can visit the jurisdiction to work with local officials on refining the capacity forecasts or to help develop alternative strategies to accommodate anticipated jail populations.

In addition to the population forecasting service, the Jails Division can provide a computerized jail population management analysis. Here, the data-gathering activity is expanded to track the inmate sample from booking through case disposition. Data are collected not only from corrections, but also from the courts, with emphasis on elapsed time between judicial decision points and the potential impact of these processing times on lengths of stay in jail and, consequently, on the tendency of the jail to crowd.

The jail population management analysis is a more extensive effort and can take up to 6 months to complete. During fiscal year 1988, the Institute will provide this service for up to four localities. Jurisdictions interested in this service should have a local jail crowding/jail policy oversight committee established that can respond to interim findings and recommendations and oversee the data-gathering activity. In some cases, a Jails Division staff member or a consultant can visit the local jurisdiction to provide guidance and assistance as necessary. The final population management analysis report provided to the jurisdiction typically recommends specific actions that can be implemented in the given jurisdiction.

Application Procedures

Local jurisdictions that expect to participate in the **Planning of New Institutions** (PONI) program are strongly encouraged to complete the *Jail Capacity Forecasting and Inmate Sample Workbook* prior to entering Phase II of the PONI program. Those jurisdictions that have already been given workbooks as part of the PONI program may submit the completed workbooks directly to the Jails Division with a letter, on official stationery, requesting that the data analysis be made and the findings reported to the jurisdiction. This service will be provided for up to 15 jurisdictions participating in the **Planning of New Institutions** program.

Those jurisdictions that are interested in the data analysis service as a separate event unconnected with the PONI program should request the assistance in writing, on official stationery, as is required for other technical assistance events. The request for service should specify the assistance desired and be signed by the sheriff or presiding officer of the county commission. The data analysis service will be provided for up to 15 jurisdictions that are not participating in the **Planning of New Institutions** program.

In all instances, the requesting jurisdiction is required to provide the data collectors. Letters of request for these services should be sent to the National Institute of Corrections, Jails Division, 1790 30th Street, Suite 440, Boulder, Colorado 80301; telephone 303-497-6700.

Podular, Direct-Supervision (New Generation) Jails

Most jails in the United States are not radically different in design from the Walnut Street Jail, which was built in 1790 and was the first penitentiary in the United States. Cellblocks are usually "linear"—a hallway or corridor lined with cells. Inmates are only under direct surveillance when an officer walks past the cells.

Due to this intermittent method of surveillance, conditions in these jails are often very poor. Physical and sexual assaults are frequent occurrences among inmates, noise levels are intolerable, vandalism and graffiti are commonplace, and inmates are generally idle. Morale is low; tension and staff turnover are high.

In the 1960s, a new jail design began to appear in the United States based on research done in hospitals and nursing homes. In

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the health sector, it was found that a more open, communal living arrangement lent itself to positive interaction among patients and to more efficient and continuous delivery of care by limited staff. Both the design and the direct staff supervision philosophies that seemed to be working in health facilities appeared transferable to jails. The new jail design featured rooms—instead of iron-barred cells—clustered around a central dayroom. Self-sufficient clusters of rooms were referred to as "pods" and the architectural style as "podular."

In the mid-1970s, these concepts were first used in detention settings by the Federal Bureau of Prisons. New Metropolitan Correctional Centers (MCCs) were constructed and opened in Chicago, New York City, and San Diego using the direct-supervision concept. Direct supervision requires that correctional officers not be separated by bars or windows from the inmates they supervise. An officer is stationed in the dayroom area among the inmates, rather than in an enclosed control booth, to provide constant control and leadership. Inmates who will not follow the rules or who challenge the officer's authority are immediately removed from the pod.

The Chicago MCC represented the first time the direct-supervision management style was combined with the podular design in a detention setting. The results of combining direct supervision and podular architectural design were dramatic. Vandalism and graffiti virtually disappeared; noise and overall tension levels dropped; assaults on staff and inmates and homosexual rapes became extremely rare. Staff and inmate morale improved.

In 1981, Contra Costa County, California, opened the first podular, direct-supervision local county jail. This facility rapidly became a showplace and has been visited by thousands of correctional officials from throughout the nation. Similar facilities were subsequently opened in New York City; Clark County (Las Vegas), Nevada; Multnomah County (Portland), Oregon; Pima County (Tucson), Arizona; and Larimer County (Fort Collins), Colorado, among others. At least 12 podular, direct-supervision jail facilities are currently in operation, and an additional 25 local jurisdictions are in various stages of planning, designing, and constructing this type of facility.

The NIC Jails Division has been involved in providing information regarding podular, direct-supervision jails in a variety of ways since 1981. As a direct result of these efforts, the NIC Advisory Board, the American Correctional Association, the American Jail Association, and the American Institute of Architects' Committee on Architecture for Justice have all adopted policy statements endorsing the design and management concept for general population inmates. The podular, direct-supervision jail is now professionally recognized as state of the art for correctional design and inmate management.

Scope

The Jails Division's initial efforts in this area focused on developing and disseminating information about the direct-supervision philosophy and assisting those jurisdictions that were interested in pursuing implementation of the model. Due to the rapidly increasing number of jurisdictions now interested in the concept for their new jails, the Institute developed a more structured program in 1987 to provide a range of services, including public education, information sharing, onsite and regional training programs, and facility audits. These activities are organized in such a way as to respond to the specific needs of the local jurisdiction, while guiding the successful implementation of the design and management concept for the facility.

Public Education and Information Sharing—The Institute has developed a number of public education materials about podular, direct-supervision jails that explain the basic concepts and how this type of facility differs from traditional facilities. These materials[6] are available to interested parties in jurisdictions that may be contemplating the feasibility of a podular, direct-supervision jail. Additionally, Institute staff members and experienced consultants can be requested to visit a jurisdiction to further explain the principles to county commissioners and others with decisionmaking responsibility for the new facility.

The Jails Division also maintains a centralized information file about the various podular, direct-supervision projects underway throughout the country and about the experiences of recently opened jails of this type. Such data collection enables the Jails Division to promote networking and information sharing among sites that are committed to the podular, direct-supervision concept.

Staff Transition Training—The Jails Division will coordinate and present at least four 10-day, two-part training programs onsite in local communities to prepare jail line staff for making the physical transition from a traditional facility to a podular, direct-supervision facility. The training provides jail staff with a common operational framework and covers interpersonal communication skills and inmate management techniques appropriate to this type of facility. Participation in this program is limited to jurisdictions about to open a podular, direct-supervision jail.

Regional Training on Managing Podular, Direct-Supervision Jails—The Jails Division will coordinate and present at least three regional 5-day training programs on "Managing New Generation Jails." Designed to expose key agency personnel to the basic management principles that are essential for successful operation of podular, direct-supervision facilities, the program covers the history of new generation jails and relevant design, management, staff, inmate, and legal issues. The training will be conducted at operating podular, direct-supervision jails to allow participants to observe the concepts in practice. Each program is limited to teams of two individuals from six jurisdictions.

Mid-Management in Podular, Direct-Supervision Facilities—The Jails Division will coordinate and present at least four 3-day mid-management seminars onsite at recently opened podular, direct-supervision jails. This training program was developed in 1986 in response to administrators' expressed need for training for mid-managers regarding their new roles and the

6. Stephen H. Gettinger, *New Generation Jails: An Innovative Approach to an Age-Old Problem*, National Institute of Corrections, March 1984; and NIC Information Center, *Direct Supervision Models Information Packet*, 1984. Both are available from the NIC Information Center, 1790 30th Street, Suite 130, Boulder, Colorado 80301.

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management style necessary to operate a podular, direct-supervision jail. The training will be conducted onsite at the new jail at the request of the facility administrator. The Institute will provide the trainers and the training materials. The requesting jail must provide the training room and audiovisual equipment.

Information Exchange Symposium—The Jails Division will enter into a cooperative agreement to conduct a 1-day symposium on podular, direct-supervision facilities in conjunction with a major correctional conference in 1988. The date and location of the symposium will be announced separately. The program will present the experiences of individuals who have been involved in the operational aspects of managing these facilities and of those who have been involved in the research, planning, design, and construction processes. A synopsis of the symposium findings will be made available to interested parties.

Onsite Audits—At the request of interested jurisdictions that have operated a podular, direct-supervision jail for at least 1 year, the Jails Division will conduct onsite audits to evaluate the implementation of the concepts. These in-depth audits will be provided for up to three jurisdictions. An audit can assure the requesting agency that all appropriate management strategies and principles are in place and operational. Additionally, these audit visits will allow the Jails Division to document individual agency problem areas and the strategies used to overcome them, providing data necessary to adjust future Jails Division efforts and services in this area.

Application Procedures

For more information about the services offered in the area of podular, direct-supervision jails, contact the National Institute of Corrections, Jails Division, 1790 30th Street, Suite 440, Boulder, Colorado 80301; telephone 303-497-6700.

Special Issue Seminars

Jail Design Review and Transition

This 5-day seminar is designed for officials from local jurisdictions that are in the process of building a new jail and are in the final stages of design development and/or the early stages of construction. The seminar is a logical followup to the **Planning of New Institutions** program, but participation in that program is not a prerequisite. To be conducted twice in Boulder, Colorado, the program emphasizes understanding architectural terminology, reading blueprints, action planning, project management, policy and procedure development, scenario development, and the transition process.

Those interested in applying for participation in this seminar should contact the NIC Jails Division to obtain a special application questionnaire.

Who Should Attend

Two-person teams consisting of the jail administrator, construction project manager, and/or the sheriff. Teams from 12 jurisdictions will participate in each seminar.

Seminar Number	Date	Application Due Date
88-J0101	Jan 31-Feb 5, 1988	Dec 1, 1987
88-J0102	Jul 17-22, 1988	May 17, 1988

Planning of New Institutions

Three 5-day Phase II "Planning of New Institutions" (PONI) seminars will be conducted in Boulder, Colorado, during fiscal year 1988. Participation in these seminars is limited to jurisdictions that have completed Phase I of PONI. Application should be made directly to the Jails Division (see the **Planning of New Institutions** project discussion earlier in this section).

Seminar Number	Date	Application Due Date
88-J0201	Dec 6-11, 1987	Oct 6, 1987
88-J0202	Mar 20-25, 1988	Jan 20, 1988
88-J0203	Jun 5-10, 1988	Apr 5, 1988

Corrections as Part of County Government

This 3-day seminar is designed to facilitate and improve communications and working relationships among local government officials who are directly involved with the planning, funding, operation, and use of local criminal justice functions. The program will help participants clarify their responsibilities, examine their management styles, and develop avenues for future joint planning and management of the local jail system.

Three states will be selected as sites for the seminar. Participation from at least 6 counties within these states, for a total of 20-30 participants, is desired. The Institute will cover the expenses for participant housing, meals, seminar materials, and mileage for private vehicles used.

Who Should Attend

County commissioners and the sheriff or jail administrator from each participating county. Concerted efforts will also be made to include the district attorney, a circuit or municipal court judge, or the director of parole/probation from each county.

How to Apply to Host a Seminar

Those interested in their state being considered as one of the three sites for this seminar should contact the NIC Jails Division for further information.

Other Training

Other training programs scheduled to be conducted for jail practitioners in fiscal year 1988 are integral components of major technical assistance efforts as previously discussed. Jail practitioners are also eligible to participate in National Academy of Corrections management and training for trainers programs and should review the course offerings listed in the Academy section of this document.

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NIC Publications of Interest to Jail Practitioners

The following reports are available to jail practitioners from the NIC Information Center as the result of earlier Institute activities. Some are available on a loan basis only.

- *Jail Resource Manual and Small Jail Resource Materials*, 1984, to be revised 1987.
- *The Development of Jail Industries*, 1985.
- *New Generation Jails: An Innovative Approach to an Age-Old Problem*, 1984. (Copies available from U.S. Government Printing Office, Washington, D.C. 20402; Stock #027-000-01273-6. Cost: $1.25)
- *New Generation Jails Information Packet*, 1984.
- *Jail Capacity Forecasting and Inmate Sample Workbook*, 1985.
- *Direct Supervision Models Information Packet*, 1984.
- *Public Inebriate Diversion Information Packet*, 1984.
- *The Nature of New Small Jails: Report and Analysis*, 1985.
- *Small Jail Special Issues*, 1986.
- *Proceedings of the First Annual Symposium on Direct-Supervision Jails*, 1986 - Draft.
- *Building on Experience*, 1987.
- *Design Guide for Small Jails*, to be published 1987.
- *Staffing Analysis Workbook for Jails*, to be published 1987.

The NIC Information Center can be contacted at 1790 30th Street, Suite 130, Boulder, Colorado 80301; telephone 303-444-1101. The documents are also available on microfiche from the National Criminal Justice Reference Service, P.O. Box 6000, Rockville, Maryland 20850; telephone 301-251-5500.

Prisons Division

The Institute's Prisons Division was established in 1981 as the agency reorganized to create divisions to serve prisons and community corrections in the same way that the Jail Center served jails. Creation of the Prisons Division was a natural development as the Institute continued to grow and refine both its work and direction, and as Institute training programs became centralized.

Continued overcrowding, inmate idleness, and increased expectations and demands have strained virtually every aspect of prison administration. Prison populations have grown dramatically over the past decade. Bureau of Justice Statistics studies show that 240,593 people were incarcerated in state and federal prisons in 1975. By 1986, that figure had increased to over 500,000 individuals.

As a result of this unprecedented growth and the fact that over 38 states[7] are operating under some form of court order for conditions of confinement and correctional practices, prison construction has accelerated at a phenomenal rate. Over $9 billion has been spent during the past 10 years on prison construction in an effort to keep pace with inmate population growth. It is anticipated that another $20 billion will be spent over the next 10 years.[8] The Institute's past work with the states has shown that overclassification of inmates has led to building prisons at security levels higher than necessary, which has increased construction costs.

In an effort to assist states in dealing with these various challenges, the Prisons Division undertook state-of-the-art projects in the area of prison planning, design, and construction and continues to direct resources to this area as states continue to build new prisons. Past NIC efforts have resulted in 11 states adopting the direct-supervision philosophy for the design and operation of their new correctional facilities.

The division has also focused on assisting the states in developing prison industries, implementing objective systemwide inmate classification systems, and developing literacy and vocational training programs in prisons. Studies have been conducted in the areas of contracting for services, managing long-term inmates, and improving prison mental health programs. As research has been refined, the division has been able to provide information, technical assistance, and training in these areas.

In fiscal year 1988, the Prisons Division will continue to focus on assisting the states in prison design and construction issues and in further developing prison industries. Short- and long-term technical assistance, as described earlier on page 1, will be provided to state departments of corrections and prisons. Special issue seminars will be presented on the subjects of prison security; management of prison disturbances and gangs; prison education, vocational training, industry, and work programs; and prison architectural design. Institute resources will also be directed to a study of prison health care—to identify institutional and inmate needs, methods of health care delivery, and how a quality health care program can be implemented in an institution.

Short- and Long-Term Technical Assistance

Prison Management, Operations, Services, and Programs (88P01)

Through its technical assistance program, the Institute will work with state prison administrators in the many diverse areas

7. American Civil Liberties Union, *National Prison Project Annual Report*, February 1986.
8. National Institute of Justice, *Construction Bulletin*, July 1986.

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that constitute prison management. Technical assistance will be provided to state departments of corrections and prisons to improve management, operations, services, and programs. Private agencies providing correctional services under contract to government agencies are eligible for assistance from the Institute only if their application is endorsed and forwarded through the government agency to which they provide those services.

Because of the high demand for technical assistance services, the Prisons Division has established the following priority areas. These priorities do not preclude providing assistance in other areas, however.

Prison Operations

Security.

Staffing.

Institutional management.

Inmate services.

Legal issues.

Prison Planning and Design

Planning.

Architectural design.

Construction management.

New facility activation.

Renovation and conversion.

Direct-supervision philosophy.

Prison Management and Programs

Inmate classification.

Unit management.

Health and mental health programs.

Prison industries management.

Protective custody.

Special management inmates.

Population management.

Due to the limited resources of the Institute, each request for technical assistance will be carefully evaluated to determine the best method of meeting the needs of the department of corrections or prison. Each request for technical assistance will be followed up by a telephone call from Institute Prisons Division staff to discuss the nature of the problem for which assistance is sought.

In reviewing each request, the Institute staff will consider:

- Whether the request can be adequately handled directly by Institute staff or by sending written information from the NIC Information Center.
- Whether state or other appropriate resources are available to adequately provide the requested service.
- Whether the Institute should contract with an experienced consultant to work onsite with prison officials for up to 14 days to resolve the specific issues or problems.
- Whether the Institute should provide funding to allow the agency to purchase assistance for a longer period of time. Financial assistance is generally available for up to 1 year.

The criteria that will be used to determine the Institute's method of responding to the request for assistance include:

- The costs and time that would be necessary to complete the project.
- The requesting agency's history of prior requests for technical assistance services (e.g., types, number, progress made on implementing recommendations).
- The clarity of the request, including how receiving technical assistance will benefit the department of corrections, prison, staff, and inmates.
- The consistency of the request with the appropriate role of the federal government.

Application Procedures

There are no deadlines for submitting requests for technical assistance, but, since funds are limited, it is advisable to apply for assistance soon after a need is identified. The procedures for requesting assistance follow.

1. The state director of corrections should request assistance in writing on official stationery. The written request should:
   - Identify the problem(s) for which assistance is sought.
   - Suggest a plan or specific action(s) to meet the problem(s).
   - Explain why assistance must be obtained at the federal level.
   - State the anticipated number of days that the assistance would be needed.

   Letters requesting technical assistance should be sent to the Technical Assistance Manager, National Institute of Corrections, Prisons Division, 320 First Street, N.W., Washington, D.C. 20534; telephone 202-724-8300.
2. Upon receipt of the written request by the Institute, a division staff member will be assigned to review the request and will telephone the requesting agency contact person to discuss the need and possible Institute responses.
   - If the NIC staff member determines that short-term technical assistance would be appropriate, its delivery will be arranged immediately.
   - If the NIC staff member believes that long-term technical assistance may be appropriate, the requesting agency will be provided with information and materials necessary for submitting a formal application, including OMB Standard Form 424 and the *NIC Guidelines Manual: Instructions for Applying for Federal Assistance*.

   Upon receipt of the formal application, the Prisons Division will assign a team of staff members to evaluate the application against the previously stated technical assistance criteria. If the Prisons Division believes that financial assistance is both possible and appropriate, the application will be presented to the Institute Director for final approval or disapproval. Once the formal

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assistance application has been received by the Prisons Division, a decision is normally made within 60 days.

- If funding is not recommended by the division or the application is not approved by the NIC Director, a division staff member will discuss other possible options with the requesting agency. These might include the agency's modifying the application, receiving short-term technical assistance, or obtaining assistance through resources other than NIC.

Those familiar with the Institute's award process may also make a direct request for financial assistance (long-term technical assistance), using Standard Form 424. Six copies of the application, prepared in accordance with the instructions given on page 2 (under **Financial Assistance Program**), should be submitted to the National Institute of Corrections, 320 First Street, N.W., Room 207, Washington, D.C. 20534.

Program Development Activities

The National Institute of Corrections' authorizing legislation mandates that the Institute undertake policy formulation and program development. The Prisons Division attempts to focus on one or two areas of emerging interest and concern to practitioners each year. During fiscal year 1988, the Prisons Division will conduct developmental work in the area of prison health care.

Health Care in Prisons (88P02)

Prison inmates have the right to receive adequate medical care under the Eighth Amendment to the Constitution, through its prohibition of "cruel and unusual punishment." This amendment was not applied to prisoners until the 1960s, when the traditional "hands-off" policy of the courts began to change with prison medical care suits such as *Newman v. Alabama*, *Estelle v. Gamble*, and *Todaro v. Ward*.[9]

The recurring themes in many of the medical court cases were (1) physical examinations of prisoners upon admission; (2) access to medical care; (3) delivery of prescribed medical care; and (4) adequacy of medical staff, facilities, equipment, and supplies. In *Barnes v. Government of the Virgin Islands*, the court provided the following guidelines for correctional administrators:

> ". . . Medical care available to inmates should be comparable in quality and availability to that obtainable by the general public."

Over the years, the courts have established inmates' right to adequate and quality medical care. Many prison systems have had difficulty in providing and maintaining a continuity of service, given the various elements that comprise an effective health care program. Prison officials must deal with the legal liabilities related to providing health care as well as the liabilities of not providing the care.

Prison administrators must effectively provide for: (1) initial inmate screening, (2) sick call, (3) routine and specialized medical care and medication, (4) first aid, (5) accidents and emergencies, (6) chronic and terminal illness, (7) psychiatric services, (8) special diets, (9) health education, and (10) safety and sanitation. Issues of costs, staffing, and quality assurance become paramount if prison health care systems are to meet professional standards and receive accreditation.

Scope

In fiscal year 1988, the National Institute of Corrections will fund a study of prison health care issues that will provide a base for the improvement of medical services in state prisons. The award recipient will conduct research and develop a comprehensive guide on providing medical care and health services in a correctional environment. The primary objectives of the study will be to:

- Identify and/or develop an organizational design(s) to administer prison medical care and health services on a state, regional, and institutional level. Issues to be addressed at each level include administrative roles and responsibilities, budget development and cost control, goals and accreditation standards, policy and procedures, quality control, and risk management.
- Identify and/or develop model staff recruitment and staff development programs that address qualifications, pay, staffing patterns, working conditions, consultant services, part-time professional services, and interpersonal and interdepartmental relationships.
- Identify and/or develop comprehensive model correctional health services and medical care delivery programs. The programs must provide for basic health care as well a intake screening, physical examinations, treatment planning, sick call, dental care, optical care, adjunct medical services, and varying levels of care.

  Administrative and support services and features of the programs to be explored will include medical records management systems; the use of microcomputers in the medical environment; psychiatric, psychological, and counseling services; and holistic medical care.
- Identify and explore medical and health care programs that are designed for special groups of inmates, including but not limited to programs for geriatric management and care, AIDS (acquired immune deficiency syndrome) patients, drug maintenance, and urine testing.
- Identify medical facility designs and policies and procedures that promote efficiency while addressing special security considerations, privacy, and safety, and maintaining an atmosphere of caring.
- Identify and/or develop effective environmental and health education programs for staff and inmates, which address such areas as housing, food services, nutrition/diet, water and sewage, safety, sanitation, fire prevention, accidents, emergency evacuation, and prevention of communicable diseases.

9. *Newman v. Alabama*, 349 F. Supp. 278, 503 F.2d 1320 (5th Cir. 1974); *Estelle v. Gamble*, 429 U. S. 97 (1976); *Todaro v. Ward*, 431 F. Supp. 1129 (S. D. N.Y.), aff'd, 565 F.2d 48 (2d Cir. 1977).

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- Identify and discuss legal issues related to providing medical care, health services, and a healthful environment in the prison setting.

These and other issues will be researched and documented in a program guide that will be used by both medical and nonmedical personnel to develop and maintain a legally sound prison health program that will meet established standards and enable a prison system to receive accreditation in the medical care area. Applicants are encouraged to identify and explore other prison health care concerns that have not been highlighted above.

The final product will be a camera-ready document that is fully edited and prepared in accordance with NIC and federal publications guidelines.

Application Procedures

Funding for this effort has been set at $200,000. This amount will support one award. Project activity must be completed within 18 months.

Six copies of fully executed applications, prepared in accordance with the instructions given on page 2 (under **Financial Assistance Program**), should be submitted to the National Institute of Corrections, 320 First Street, N.W., Room 207, Washington, D.C. 20534.

Applications must be received at this address no later than 5:00 p.m., January 15, 1988. Extensions of this deadline will not be permitted.

To obtain further information about this project, potential applicants may contact the Institute's Prisons Division at the above address or telephone 202-724-8300.

Special Issue Seminars

This section describes the Prisons Division special issue seminars that will be conducted at the Academy in Boulder, Colorado, during fiscal year 1988. Those interested in applying for participation should complete and mail the application form at the end of this document.

Prison Security

This 5-day seminar focuses on sound management principles as they are applied to prison security. The integration of all institutional services and operations is stressed as a means of maintaining a secure institution. The curriculum covers:

- Physical plant security.
- Staffing analyses.
- Roster management.
- Integration of women into the workforce.
- Legal issues.
- Security management controls and procedures.
- Management of disturbances and gangs.
- Classification.
- Unit management.
- Special management inmates.
- Monitoring and auditing security operations.
- Integration of security and treatment.

Who Should Attend

Correctional managers who have either direct or oversight responsibility for security operations at an adult correctional institution.

Seminar Number	Date	Application Due Date
88-P0101	Feb 28-Mar 4, 1988	Dec 28, 1987

Management of Prison Disturbances and Gangs

This 5-day seminar uses actual case studies to demonstrate the effectiveness of successful strategies for managing prison disturbances and inmate gangs. A highlight of the program is the opportunity for prison administrators to exchange information and learn from experiences of their peers. The curriculum covers:

- Causative factors and management strategies for both disturbances and gangs.
- The influence of gangs in disturbances.
- Dynamics of group formation.
- Legal issues.
- Planning.
- Staff training.
- Post-event analysis.

Who Should Attend

Correctional managers, located at an institution or in the central office, who have primary decisionmaking responsibility during a disturbance. Preference will be given to two-person teams from state departments of corrections composed of a central office security manager and a warden.

Seminar Number	Date	Application Due Date
88-P0102	May 22-27, 1988	Mar 22, 1988

Prison Education, Vocational Training, Industry, and Work Programs

This 5-day seminar focuses on interdepartmental coordination of inmate programs. Needs assessments and long-range program plans founded on basic education and the development of work skills will be emphasized. The curriculum covers:

- Education/industry/institutional job assignments: a team approach.
- Negotiating skills.
- Planning and management strategies.
- Identification of program goals and objectives.
- Policy issues.
- Developing action plans.

Who Should Attend

Two-person teams consisting of a manager or supervisor of correctional education programs and a manager or supervisor of

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prison industries or institutional work programs. Applicants should be involved in the planning and management of the education, industry, or work programs.

Seminar Number	Date	Application Due Date
88-P0501	Mar 13-18, 1988	Jan 13, 1988
88-P0502	Jun 12-17, 1988	Apr 12, 1988

Prison Architectural Design

This 5-day seminar is designed to assist states in realizing operational efficiencies and significant cost savings in the design and construction, conversion, or renovation of secure prisons. State-of-the-art architectural guidelines and management philosophies will be reviewed. The curriculum covers:

- Institution operational philosophy.
- Facility planning and pre-architectural program.
- Objective classification and the design process.
- Design of functional program areas.
- The effect of design on staffing patterns.
- Direct supervision vs. indirect supervision philosophy.
- Perimeter security and inmate housing design.
- Integration of locks, doors, windows, and furnishings into the design process.
- Renovation, conversion, and pre-fabrication as alternatives to new prison construction.
- Alternative financing and construction methods.

Who Should Attend

Four-person state correctional teams composed of assistant directors, state architects, directors of facilities construction, security administrators, planning directors, and classification/program managers. Teams from six states will participate in each seminar.

Seminar Number	Date	Application Due Date
88-P0301	Apr 10-15, 1988	Feb 10, 1988
88-P0302	Jul 24-29, 1988	May 24, 1988

NIC Publications of Interest to Prison Practitioners

The following recently published reports are available to prison practitioners from the NIC Information Center as the result of earlier Institute activities. Some are available on a loan basis only.

- *Female Classification: An Examination of the Issues*, 1984.
- *Riots and Disturbances in Correctional Institutions*, 1981.
- *Private Sector Involvement in Prison Services and Operations*, 1984.
- *Guidelines for Prison Industries*, 1984.
- *Employee Grievance Decisions in Corrections*, 1982.
- *Managing Adult Inmates*, 1984.
- *Offender Needs Assessment: Models and Approaches*, 1984.
- *Design Guide for Secure Adult Correctional Facilities*, 1983.
- *Designs for Contemporary Correctional Facilities*, 1985.
- *Evaluation of Pre-Manufactured Housing for Correctional Purposes*, 1984.
- *Adult Female Offenders and Institutional Programs*, 1984.
- *Sourcebook on the Mentally Disordered Prisoner*, 1985.
- *Protective Custody*, 1983.
- *Correctional Officer Self-Instructional Course*, 1982.
- *Fire Safety in Correctional Facilities*, 1981.
- *A Study of Prison Industry: History, Components, and Goals*, 1986.
- *Managing Long-Term Inmates: A Guide for Correctional Administrators*, 1986.
- *Guidelines for the Development of a Security Manual*, to be published 1987.
- *Computer Use in Correctional Education: A National Survey and Guidelines for Implementation* (3 volumes), to be published 1987.
- *Making Literacy Programs Work. Vol. 1, A Practical Guide for Correctional Educators; Vol. 2, A Directory of Prison Literacy Programs in the United States*, to be published 1987.

The NIC Information Center can be contacted at 1790 30th Street, Suite 130, Boulder, Colorado 80301; telephone 303-444-1101. The documents are also available on microfiche from the National Criminal Justice Reference Service, P.O. Box 6000, Rockville, Maryland 20850; telephone 301-251-5500.

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Community Corrections Division

The Institute's Community Corrections Division was established in 1981 when the agency reorganized to create divisions to serve community corrections and prisons in the same way that the Jails Division served jails. Creation of the Community Corrections Division has brought probation, parole, residential programs, and other community-based correctional programming into better focus for the Institute, while ensuring greater use of the Institute's resources by field services practitioners.

Community sanctions—penalties and programs for offenders that do not involve total confinement—have been changing dramatically in recent years. Although probation remains the most common community sanction, the use of such penalties as restitution, community service orders, house arrest, and residential placement has grown significantly. Various non-incarcerative penalties are being used not only as sentencing options, but in lieu of probation or parole revocation, in early release programs, and at other stages in the criminal justice process.

A variety of motivations underlie the expanding use of community sanctions. While changing offender behavior remains a common objective, many programs reflect such pragmatic interests as reducing prison or jail populations, increasing the severity of non-incarcerative penalties, providing a higher degree of protection to the community, and better serving victims' interests.

During this period of change and expansion, dramatic offender population increases have created a management crisis in community corrections. Few people are surprised to learn that the nation's sentenced prison population has increased by 48 percent since the beginning of this decade, but it is generally not recognized that the adult probation population has grown by 60 percent and the parole and mandatory release population has grown by nearly 25 percent during the same period.

The most recent data available from the Bureau of Justice Statistics[10] indicate that at year-end 1985, the adult probation population in the United States was 1,870,000 offenders, a 15 percent increase over 2 years. During the same period, the adult parole and mandatory release population increased by more than 9 percent, to a record 277,000 offenders. Consequently, approximately four adults were on probation for each sentenced adult in a state prison, and one adult was under parole supervision for every two in prison.

As probation and parole caseloads grew, other community corrections programs—house arrest, victims services, community residential centers—developed and expanded rapidly. For example, a recent survey[11] indicated that 33 states and the Federal Bureau of Prisons were using 725 community residential facilities throughout the country to house 14,593 offenders on January 1, 1986. Reliance on these and other community-based sanctions has increased significantly in the past 2 years.

Over the past several years, the Community Corrections Division has worked with agencies throughout the United States in developing and implementing new technologies and knowledge. Areas in which the Institute has sponsored research and development efforts, which subsequently led to a capacity to deliver technical assistance in these areas, include offender risk classification systems, workload management, and strategies for dealing with diminishing financial resources. Efforts have also focused on improving the performance and capacity of state oversight agencies to work more effectively with local community corrections service-delivery agencies within their jurisdictions.

Recently the division has placed emphasis on parole decisionmaking, executive clemency, system automation, and residential and pre-trial programming. During the past year, resources have been directed to community corrections and the delivery of victims services, and a review of the impact of probation and parole classification system implementation.

In fiscal year 1988, the Community Corrections Division will continue to address these and other emerging areas of interest. The division's efforts recognize that implementing change is neither an easy nor entirely predictable process, that innovations must be adapted to individual agency environments, and that the active involvement of management is essential to realizing successful change. This approach places greater emphasis on organizational development than on simply adopting a "model" program developed elsewhere.

The types of assistance available from the Community Corrections Division are short-term and long-term technical assistance, targeted technical assistance, and special issue seminars. Short- and long-term technical assistance services are described generally on page 1 in this document and more specifically below for community corrections agencies. Targeted technical assistance will focus on community corrections residential programs and on parole decisionmaking, as explained later in this section.

Special issue seminars will be presented on the subjects of community corrections program management, with emphasis on sex offenders or economic sanctions; orientation for new parole board members; policy adoption strategies to control crowding; and building capacity of oversight agencies.

A program development project will study emerging technologies and their impact on community corrections programs. The Institute is seeking financial assistance applications from qualified organizations to conduct this project.

10. U.S. Department of Justice, Bureau of Justice Statistics, BJS Bulletin, *Probation and Parole 1985*, 1986.
11. Criminal Justice Institute, Inc., *The Corrections Yearbook - 1986*, 1986.

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Short- and Long-Term Technical Assistance

Community Corrections Management, Operations, Services, and Programs (88C01)

The Community Corrections Division's technical assistance program is based on the premise expressed by Vincent O'Leary and Todd R. Clear in *Directions for Community Corrections in the 1990s.*[12]

> "We think that community supervision is more promising than much contemporary comment indicates. The future of [community] supervision need not be a bleak dumping ground for the overflow of judicial and correctional workload. In fact, in our view, community supervision has a rightful place as the central correctional method, and a careful analysis of the best post-conviction processing will strengthen not only the idea of supervision, but also the practices under which it is carried out."

Because careful analysis and implementation of community sanctions and punishments are often complex and difficult, the technical assistance program is designed to provide specialized service in response to requests from community corrections agencies. This program represents the Institute's continued commitment to support the individual efforts of community corrections agencies and policymakers to improve community-based operations and programs.

Those eligible for assistance are state and local probation and parole agencies, residential programs, and public and private community corrections agencies. In special cases, consideration will be given to requests from organizations or associations whose mission is to support and/or assist community corrections agencies. Private agencies providing correctional services (e.g., facility operations, pre-sentence report writing) under contract to government agencies are eligible for assistance from the Institute only if their application is endorsed and forwarded through the government agency to which they provide those services.

The Institute provides short- and long-term technical assistance in such areas as planning, analysis, development, and implementation of policies and programs. Generally, NIC funding is not available for agency operating expenses or for capital expenditures (including purchase of major equipment, personal computers, and other data processing equipment).

Requests for assistance should reflect a significant agency problem. Typical areas that could be addressed by either short- or long-term technical assistance include, but are not limited to, the following.

Service Delivery Activities

Supervision strategies.

Continuum of sanctions.

Victims services and programs.

Offender classification systems.

Caseload management systems.

Pre-sentence investigations.

Pre-trial release programs.

Post-conviction community-based programs.

Parole decisionmaking.

Community-based residential programming.

Organizational/Environmental Issues

Organizational development.

Influencing criminal justice system decisionmaking.

Accountability measures.

Civil liability.

Privatization/contracting for services.

Improving management practices.

Developing community corrections act legislation.

System automation.

Policy development and implementation.

In evaluating each request for technical assistance, Institute staff will consider:

- Whether the request can be adequately handled directly by Institute staff or by sending written information from the NIC Information Center.
- Whether state or other resources are available to adequately provide the requested service.
- Whether the Institute should contract with an experienced consultant to work onsite with officials of the requesting agency for up to 14 days to resolve the specific issues or problems.
- Whether the Institute should work with the requesting agency to develop an application for assistance that would allow the Institute to provide funding to the agency to purchase assistance for a longer period of time. Financial assistance is generally available for up to 1 year.

Application Procedures

There are no application deadlines, but agencies should apply for assistance soon after determining a need since funds are expended as meritorious proposals are received. The procedures for requesting assistance are described below.

The criteria that will be used to determine the Institute's method of responding to the request for technical assistance include:

- The requesting agency's commitment, readiness, and capability to achieve the proposed objectives.
- The project's likely benefit to the agency, staff, community, and offenders under supervision.
- The applicability, in whole or in part, of the product or process to other community corrections agencies and the likely impact on other components of the criminal justice system.
- The requesting agency's history of prior requests for NIC technical assistance services (e.g., types, number, progress made on implementing recommendations).

12. Vincent O'Leary and Todd R. Clear, *Directions for Community Corrections in the 1990s*, National Institute of Corrections, June 1984.

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- The costs and time that would be necessary to complete the project.
- The consistency of the request with the appropriate role of the federal government.

Short-Term Assistance—To request direct, onsite assistance for up to 14 days, the community corrections agency should submit a letter, not more than two pages in length, on official stationery, which:

- Identifies the problem(s) for which assistance is sought.
- Suggests a general plan or specific action(s) to resolve the problem(s).
- Explains why assistance must be obtained at the federal level.
- Identifies the requesting agency contact person who has knowledge of the need and authority to represent the agency in the application process.
- Is signed by the administrator or chief executive officer of the requesting agency. Note: Where the applicant is a private organization providing correctional services under contract to a government agency, the application for assistance must be endorsed and forwarded through the government agency to which services are provided.

Letters requesting technical assistance should be sent to the Technical Assistance Manager, National Institute of Corrections, Community Corrections Division, 320 First Street, N.W., Washington, D.C. 20534; telephone 202-724-7995.

Long-Term Assistance—Agencies requesting long-term financial assistance (i.e., funding) must do so using OMB Standard Form 424 completed in accordance with instructions given on page 2 in this document (under **Financial Assistance Program**). Applications must be submitted to the National Institute of Corrections, 320 First Street, N.W., Room 207, Washington, D.C. 20534.

Upon receipt of the formal application, the Community Corrections Division will assign a team of staff members to evaluate the application against the previously stated criteria. If the Community Corrections Division believes that financial assistance is both possible and appropriate, the application will be presented to the Institute Director for final approval or disapproval. Once the formal assistance application has been received by the Community Corrections Division, a decision is normally made within 60 days.

If funding is not recommended by the division or the application is not approved by the NIC Director, a division staff member will discuss other possible options with the requesting agency. These might include the agency's modifying the application, receiving short-term technical assistance, or obtaining assistance through resources other than NIC.

Short- or Long-Term Assistance—Agencies unfamiliar with NIC or uncertain about the most appropriate type of assistance to request are urged to contact the Institute by either letter or telephone to discuss the nature of their request. The letter should identify the general nature of the problem(s), suggest a plan to address the problem(s), and explain why federal assistance is needed. Letters should be signed by the chief executive officer of the requesting agency and should identify a contact person who has knowledge of the problem and the authority to represent the agency in further discussions.

Upon receipt of the request, a Community Corrections Division staff member will be assigned to review the request and discuss with the requesting agency's contact person the need and possible Institute responses. If the request is by letter and it is determined that short-term technical assistance would be appropriate, additional written material from the requesting agency will seldom be required. Division staff will arrange for delivery of the assistance immediately. If long-term assistance is most appropriate, staff will explain application procedures and forward the necessary forms.

Targeted Technical Assistance

Targeted technical assistance involves a coordinated approach to assisting jurisdictions and agencies in developing solutions to complex problems. Activities frequently include a mix of short-term technical assistance, training, and information exchange. Areas targeted as major focuses for the Community Corrections Division in fiscal year 1988 include residential community corrections programs and parole decisionmaking. Both efforts will be a continuation of activities begun last year.

Technical Assistance to Residential Community Corrections Programs (88C02)

Residential community corrections programs represent a valuable corrections resource if their use is subject to effective policy control and appropriate management standards. While projections suggested that rising prison populations and increased construction costs would result in more offenders being classified to residential community corrections programs—thereby reserving limited prison space for offenders requiring the security provided by incarceration—fiscal cutbacks have hindered many residential service providers, and particularly private providers, from even considering expansion.

Changes in sentencing practices, system overload, and fiscal cutbacks have altered the environment in which residential community corrections programs operate and have affected their role and function in corrections. Factors such as inadequate planning, lack of information, the emergence of new classes of offenders with special needs, and interest in new programs necessitate reevaluating the role of residential community corrections programs among the array of sanctions, controls, punishments, and treatment options available to state and local correctional agencies.

To respond to these issues, the National Institute of Corrections awarded a 2-year cooperative agreement in November 1985 to Brandeis University's National Institute for Sentencing Alternatives to perform the following services.

- Deliver technical assistance to residential community corrections programs in the areas of (1) developing policy (e.g., resource allocation, types of offenders to be housed, services and programs to be offered, the relationship of

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residential centers to other sanctions), and (2) developing and managing programs (e.g., zoning, case management, staffing patterns, fiscal reporting).

- Conduct short regional training programs on residential-specific subjects.
- Develop practical guideline manuals on current issues for publication (e.g., site selection, facility design, staffing).

Information received at national conferences and from practitioners and policymakers in the residential community corrections field has substantiated the need for continued assistance.

Scope

In fiscal year 1988, the Community Corrections Division will provide financial assistance in the form of a cooperative agreement to an agency or organization to (1) provide to the private and public residential community corrections field technical assistance that addresses both policy and management/operations issues; (2) deliver intensive regional training workshops for residential community corrections policymakers and practitioners; and (3) form a national advisory board to guide the project team on critical needs of residential community corrections programs that can be addressed through technical assistance, and on strategies for delivering the assistance.

The proposed number of training sessions, training methodology, strategies for delivering policy and programmatic technical assistance, internal procedures for tracking technical assistance activities, and a detailed budget for both training and technical assistance events must be included in the application for financial assistance. Applicants must also submit information documenting their capability to effectively deliver the required products. Note: It would be desirable for applicants to have the existing capability to transmit reports electronically using an IBM-compatible personal computer environment.

Application Procedures

Funding for this effort has been set at $100,000. This amount will support one award. Project activity must be completed within 1 year.

Six copies of fully executed applications, prepared on OMB Standard Form 424, Federal Assistance, and in accordance with the instructions given on page 2 (under **Financial Assistance Program**), should be submitted to the National Institute of Corrections, 320 First Street, N.W., Room 207, Washington, D.C. 20534.

Applications must be received at this address no later than 5:00 p.m., December 15, 1987. Extensions of this deadline will not be permitted.

This is a technical assistance award. Applicants must submit a copy of their proposal to the state "single point of contact," where applicable, simultaneously with submitting six copies to the Institute.

While it is expected that the recipient of the first-year award will apply for continuation funding under this program, other qualified applicants are encouraged to apply for the award. To obtain an information packet including briefing papers, technical assistance reports, project progress reports, and other related materials from the prior cooperative agreement, potential applicants may contact the Institute's Community Corrections Division at the above address or telephone 202-724-7995.

Technical Assistance for Parole Decisionmaking (88C03)

Thirty-eight states currently have statutes that establish a parole decisionmaking authority, although the mission of the authorities varies. The mission of individual authorities has also changed over time, with prison crowding pressures forcing many paroling authorities to serve as a population control agent.

Because the policymaking role of paroling authorities in the criminal justice system is often not widely recognized, structured decisionmaking is hindered. Parole boards are increasingly concerned about accountability and the potential risk to the community posed by those they release. They are impacted by continuous change (in public reaction, the system, and inmate populations). Ineffective communication between decisionmakers and staff often exists. Likewise, boards often lack sufficient staff, funding, training, and professional networks.

In late 1985, the Institute made a $200,000 award to the Cosmos Corporation to provide technical assistance to parole decisionmakers, and 11 of 23 applicant states received some form of assistance through the project. Twelve requesting states did not receive assistance, either because they did not appear to be prepared to fully benefit from assistance at that time or due to limited project resources. Several of the agencies assisted have additional needs to address; many of the 12 unsuccessful earlier applicants are now prepared to proceed; and, with increasing demands on parole boards, additional paroling authorities are expected to request assistance.

While some parole board members have participated in training seminars similar to those being offered this year at the National Academy of Corrections, several states have requested that training and assistance continue to be delivered onsite to enable all parole decisionmakers from a state to participate on a first-hand basis.

Scope

The Institute's Community Corrections Division will provide financial assistance in the form of a cooperative agreement to an agency or organization to assist selected parole boards in establishing consistent, responsible, and objective parole decisionmaking processes and procedures at the state level and in counties where paroling authorities exist by statute. Examples of the types of needs identified during the earlier project include inadequate risk prediction devices; dissatisfaction with current parole guidelines; and lack of parole decisionmaking policy. Emerging as a prerequisite for addressing such concerns is a need to articulate goals for parole release decisionmaking.

Assistance will include conducting training workshops for parole board members that will cover parole law and policy, practices, and technology that can support the decisionmaking process. The award recipient will provide assistance onsite to

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agencies participating in the project. Workshops or other sessions involving more than one parole board may be conducted when such an approach is cost effective and otherwise achieves project goals.

Applicants must demonstrate that they have the knowledge, ability, and skills to provide technical assistance through telephone contact, onsite visitation, and training workshops. The award recipient will be expected to develop internal tracking procedures to respond to technical assistance requests in a timely fashion and to evaluate and follow up on the assistance delivered.

Application Procedures

Funding for this effort has been set at $150,000. This amount will support one award. Project activity must be completed within 18 months.

Six copies of fully executed applications, prepared on OMB Standard Form 424, Federal Assistance, and in accordance with the instructions given on page 2 (under **Financial Assistance Program**), should be submitted to the National Institute of Corrections, 320 First Street, N.W., Room 207, Washington, D.C. 20534.

Applications must be received at this address no later than 5:00 p.m., October 15, 1987. Extensions of this deadline will not be permitted.

This is a technical assistance award. Applicants must submit a copy of their proposal to the state "single point of contact," where applicable, simultaneously with submitting six copies to the Institute.

While it is expected that the recipient of the previous award will apply for continuation funding under this program, other qualified applicants are encouraged to apply for the award. To obtain further information about this project or copies of products from the previous award, potential applicants may contact the Institute's Community Corrections Division at the above address or telephone 202-724-7995.

Program Development Activities

The National Institute of Corrections' authorizing legislation mandates that the Institute undertake policy formulation and program development. The Community Corrections Division attempts each year to focus on one or two areas of policy or practice that are of major importance and utility, as identified in consultation with practitioners. Emerging technologies and their impact and potential influence on community corrections will be the area of focus during fiscal year 1988.

Emerging Technologies and Community Corrections (88C04)

In a recent study of electronic monitoring of offenders in community settings, Dr. Charles Friel et al. assert that correctional policy often reflects the values and concerns of society at a given time. The authors believe that the problems encountered by prisons and jails prior to the 1960s were largely overshadowed by other historical events. The decade of the 1970s, however, was marked by an unexpected rise in crime and a shift from what Friel calls the "treatment/rehabilitation philosophy" to one demanding crime control and punishment of the offender.

This shift resulted in the increased use of incarceration for less serious offenders and longer sentences for those convicted of more serious crimes. Such sentencing policies contributed significantly to the overcrowding of prisons and jails and to a subsequent swelling of probation and parole caseloads as decisionmakers looked for methods to control institutional crowding.

Overcrowding, coupled with demands for punishment and control at a time when funds for government services are increasingly scarce, spurred the use of a variety of new sanctions and technologies for supervising offenders in the community. Most prominent of these technological innovations is the use of electronic monitoring devices. Other innovations such as automobile auto-lock breath analyzers, video telephone hookups, voice print devices, and closed circuit television for parole hearings have also been introduced as potential tools for managing offender populations.

To date, relatively little pooling of information has taken place among agencies that have used these new technologies; nor has systematic research been done regarding the effectiveness of the approaches. For example, little is known about the relative cost benefits of electronic surveillance or other technical advances; their effectiveness in controlling offenders; or their impact on staff, offenders, and agency operations. The problem is further compounded by the rapid technological evolution of such devices, which requires consideration of the products currently available as well as those that are under development and could be put to use by community corrections agencies within the next several years.

Scope

The Institute intends to fund an exploratory study to identify existing and emerging technologies and their current or potential application in community corrections. The study will be more than simply a survey of the existing literature. It will explore new technologies that are currently being used; those that could, with creativity, be used; and those that may soon be available to community corrections for use in supervising offenders.

The recipient of the financial award to conduct this study will be expected to document the findings in a camera-ready report prepared in accordance with NIC and federal guidelines. The report will describe both existing and emerging technologies and their implications for policy and program development and management practices in community corrections agencies.

Application Procedures

Funding for this effort has been set at $75,000. This amount will support one award. Project activity must be completed within 1 year.

Six copies of fully executed applications, prepared in accordance with the instructions given on page 2 (under **Financial**

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Assistance Program), should be submitted to the National Institute of Corrections, 320 First Street, N.W., Room 207, Washington, D.C. 20534.

Applications must be received at this address no later than 5:00 p.m., December 15, 1987. Extensions of this deadline will not be permitted.

To obtain further information about this project, potential applicants may contact the Institute's Community Corrections Division at the above address or telephone 202-724-7995.

Special Issue Seminars

In responding to emerging and critical correctional issues that have been identified by practitioners and others in the field, the Community Corrections Division provides specialized training in a limited number of areas each year in concert with the National Academy of Corrections. These training programs are designed to transfer the latest available knowledge to the field in a manner that facilitates utilization and practical results.

In fiscal year 1988, the Community Corrections Division will conduct nine special issue seminars in four different subject areas, which are described below. The training sessions will be held at the Institute's National Academy of Corrections in Boulder, Colorado. Those interested in participating in a seminar should complete the application form at the end of this document and mail it to the National Academy of Corrections.

Community Corrections Program Management

This 5-day seminar offers a core curriculum that explores issues related to managing community corrections programs and builds on the Institute's efforts over the previous 2 years. Each seminar incorporates one of two specific program themes as a sub-curriculum.

The core curriculum is designed to clarify sanctioning philosophies and their implications for community corrections programs; to identify and examine the issues involved in developing, implementing, and managing community corrections programs; and to provide the opportunity for peer consultation and networking among community corrections administrators. Each seminar will focus on one of the following two themes.

Sex Offenders: Community corrections agencies are increasingly called upon to provide residential treatment and/or community supervision services to probationers or parolees who have been convicted of sex offenses. These sessions will focus on ways to provide programs and services to these high-visibility offenders.

Seminar Number	Date	Application Due Date
88-C2201	Feb 21-26, 1988	Dec 22, 1987
88-C2202	Jun 19-24, 1988	Apr 19, 1988
88-C2203	Sep 11-16, 1988	Jul 12, 1988

Economic Sanctions: These sessions will focus on addressing the issues that arise in planning, implementing, and managing such economic sanctions as restitution, fines, fees, and community service programs. Discussion will cover issues of cost effectiveness, sanctioning goals, policies, and processes associated with economic sanction programs.

Seminar Number	Date	Application Due Date
88-C2301	Jan 24-29, 1988	Nov 24, 1987
88-C2302	Mar 20-25, 1988	Jan 20, 1988
88-C2303	May 15-20, 1988	Mar 15, 1988

Who Should Attend

Four-person teams from jurisdictions that are interested in developing a new community corrections program or significantly modifying an existing one that focuses on sex offenders or economic sanctions. Because the seminars are based on the premise that a systemwide approach facilitates effective program implementation, teams should generally include one judge, county commissioner, state legislator, or prosecutor; one high-level community corrections administrator; an experienced line officer who supervises offenders in the community; and either a financial administrator (for **Economic Sanctions**) or a mental health professional (for **Sex Offenders**). Substitutions will be considered on a case-by-case basis. Applications for all team members should be submitted together by the community corrections administrator.

Since the core curriculum is the same for both programs, the same individual may not attend more than one session in this series. Different individuals from the same jurisdiction may apply for each program.

Orientation for New Parole Board Members

This 5-day seminar is designed for new or recently appointed parole board members with little parole experience. Designed to prepare them for their new responsibilities, the seminar will cover parole functions, the range of parole decisionmaking processes, and legal concerns. Some of the risk instruments and parole guidelines in use will be discussed, and skill-building techniques in individual and group decisionmaking will be presented.

The curriculum draws heavily upon the Parole Institute training conducted several years ago and the Institute's ongoing technical assistance project for parole decisionmaking. Participants will have the opportunity to discuss mutual concerns and to interact with knowledgeable individuals with extensive parole decisionmaking experience.

Who Should Attend

Members of adult paroling authorities who have little previous parole experience or formal parole training.

Seminar Number	Date	Application Due Date
88-C2101	Jun 5-10, 1988	Apr 5, 1988

Policy Adoption Strategies to Control Crowding

Many corrections reform measures developed by policymakers require modification of state codes, which can only be accomplished by considerable work in the legislative arena.

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This 3-day seminar provides techniques for successfully effecting "adoption" of legislative proposals and an opportunity to outline a plan to support adoption of specific policies. For purposes of this seminar, "adoption" is considered the first step in implementing a statutory change and involves the full range of activities that support passage of a bill: preparation work, building broad support, and direct response to the legislature.

The seminar is designed for teams of state policymakers who are pursuing major issues such as developing policies or programs to regulate jail or prison populations, modifying sanctions, or changing sentencing practices. It will increase their understanding of the critical components of a policy adoption strategy and will allow for learning from other states' experiences. Participants will be provided an opportunity to examine and refine proposals in preparation for legislative adoption, and to outline a legislative strategy for their key policy proposal.

Who Should Attend

Teams of up to four individuals from each participating state including, at a minimum, one high-level corrections official and one legislator. In general, applicants should be officials from any of the three branches of government whose participation is critical to adoption of the proposed policy. The seminar is most suitable for states with previous experience in bringing together a wide range of decisionmakers to work on problem analysis and proposal development.

Seminar Number	Date	Application Due Date
88-C2001	Jun 23-26, 1988	Apr 25, 1988

Building Capacity of Community Corrections Oversight Agencies

This 4-day seminar provides training for administrators of state community corrections oversight agencies. The program addresses issues applicable to the oversight function and affords an opportunity for peer networking of the oversight administrators through sharing of information, ideas, concerns, and solutions. **Participation is by invitation of the Institute's Community Corrections Division.**

Seminar Number	Date	Application Due Date
88-C0901	Sep 18-22, 1988	Jul 18, 1988

Additional Information

For additional information about the community corrections special issue seminars, contact the Institute's Community Corrections Division, 320 First Street, N.W., Washington, D.C. 20534; telephone 202-724-7995. Community corrections practitioners are also eligible to participate in National Academy of Corrections management and training for trainers programs and should review the course offerings listed in the Academy section of this document.

NIC Publications of Interest to Community Corrections Practitioners

The following recently published reports are available to community corrections practitioners from the NIC Information Center as the result of earlier Institute activities. Some are available on a loan basis only.

- *Questions and Answers on Legal Liabilities in Probation and Parole*, 1982.
- *Potential Liabilities of Probation and Parole Officers*, Revised 1985. (Copies available from U.S. Government Printing Office, Washington, D.C. 20402; Stock #027-000-01274-4. Cost: $11.00)
- *Community Corrections Act Technical Assistance Manual*, 1983.
- *Directions for Community Corrections in the 1990s*, 1984.
- *Handbook for New Parole Board Members*, 1982.
- *Management Strategies for Probation in an Era of Limits*, 1986.
- *Workload Measures for Probation and Parole*, 1982.
- *Community Service by Offenders*, 1979.
- *Directory of Programs Serving Families of Adult Offenders*, 1985.
- *Fees for Probation Services*, 1986.
- *Liability Issues in Community Service Sanctions*, 1986.
- *The Goals of Community Sanctions*, 1986.
- *Contracting for Community Corrections Services*, to be published 1987.
- *Marketing Community Corrections*, to be published 1987.

The NIC Information Center can be contacted at 1790 30th Street, Suite 130, Boulder, Colorado 80301; telephone 303-444-1101. The documents are also available on microfiche from the National Criminal Justice Reference Service, P.O. Box 6000, Rockville, Maryland 20850; telephone 301-251-5500.

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National Academy of Corrections

The National Academy of Corrections began operation in Boulder, Colorado, on October 1, 1981, and is in its sixth year of providing training for state and local correctional practitioners. By developing and delivering training for prison, jail, and community corrections practitioners, the Academy serves as a catalyst for interaction between correctional agencies, other components of the criminal justice system, public policymakers (e.g., county commissioners, state legislators), and concerned public and private organizations. Through training, the Institute promotes constructive organizational change and full use of resources to maximize corrections' ability to operate in a fair, safe, efficient, humane, and constitutional manner.

Public hearings, needs assessments, analysis of technical assistance and information requests, and discussions with correctional practitioners have led to the identification of three areas toward which Academy training is directed.

- Improved administrative and managerial knowledge, skills, and practices that advance the operation of correctional agencies and programs.
- Enhanced capabilities of state and local correctional agencies to deliver training through improving skills of trainers, providing curriculum materials to use in training, and transferring training technology.
- Special issues facing correctional administrators, the resolution of which can be assisted by training or an integrated approach that includes training.

In fiscal year 1988, the Academy will offer training to correctional managers, trainers, and others at its centralized site in Boulder, Colorado. It will also continue to offer a number of training programs at state and local locations. The Institute provides training and all materials at no cost to participants.

It is the policy of the National Institute of Corrections to ensure that no individual is discriminated against on the basis of race, color, national origin, sex, or handicap in programs or activities funded or conducted by the Institute.

Academy Training Programs—Boulder Area

The Academy offers a number of training seminars in the Boulder, Colorado, area that are specifically designed for correctional managers, executives, specialized personnel, and staff trainers. Attendance at these Boulder area programs offers participants numerous benefits:

- Nationally known trainers in the fields of corrections and management.
- Classes composed of a national cross-section of correctional practitioners.
- Current, quality material on correctional issues.
- Direct access to NIC's Information Center.
- A certificate of completion from NIC.

These programs will be conducted at Boulder area conference centers and hotels. Upon acceptance into one of the seminars, participants will be provided with a packet that includes information about the site of the seminar, as well as the pre-established arrangements for lodging, meals, and air travel.

Air travel, lodging, and meal costs associated with attending a course conducted at the Academy in Boulder, Colorado, will be paid by the National Institute of Corrections. Beginning this year, all participants in Academy-based training programs will be required to reside at the training site for the duration of the course, regardless of the proximity of their homes to the training site.

The Boulder area is served by Denver's Stapleton International Airport. Regularly scheduled airport limousines and buses are reasonably priced for the 30-mile Denver/Boulder trip.

Application Procedures for Boulder Area Seminars

Individuals interested in participating in an Academy training program offered in Boulder, Colorado, should complete the application form at the end of this document, **obtain the endorsement of their chief executive officer or administrator,** and mail the application to the National Academy of Corrections.

Applicants should note that enrollment in any given program is limited to 24 participants in order to maximize the learning experience. **Completed applications must be received by the Academy at least eight weeks before the start of the desired training program.** All applications will be acknowledged.

The Academy reserves the right to cancel programs with reasonable notice to participants due to insufficient enrollment. Participants are encouraged to notify the Academy as soon as possible if they must cancel their attendance at any Academy seminar.

Programs to be offered by the Academy in Boulder, Colorado, during fiscal year 1988 follow. An application form is included at the end of this document. Those desiring additional information about Academy training opportunities may contact the Academy at 1790 30th Street, Suite 430, Boulder, Colorado 80301; telephone 303-497-6060.

Management Series

Correctional Management

This 40-hour seminar provides correctional managers and executives with a conceptual framework for more effectively managing their organizations. Participants develop a panoramic vision of how correctional organizations function, a greater understanding of the interdependencies that operate within the correctional organization, and an awareness of how individuals

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and groups at different levels interact to enable the organization to function. With this new knowledge and awareness, participants become more confident, effective managers—leaders who can successfully manage a correctional organization.

Who Should Attend

Correctional managers and executives who have responsibility for an organization or major organizational unit.

Seminar Number	Date	Application Due Date
88-M0101	Nov 15-20, 1987	Sep 20, 1987
88-M0102	Dec 6-11, 1987	Oct 6, 1987
88-M0103	Jan 24-29, 1988	Nov 24, 1987
88-M0104	Feb 21-26, 1988	Dec 21, 1987
88-M0105	Mar 20-25, 1988	Jan 20, 1988
88-M0106	Apr 17-22, 1988	Feb 17, 1988
88-M0107	May 15-20, 1988	Mar 15, 1988
88-M0108	Jun 19-24, 1988	Apr 19, 1988
88-M0109	Jul 17-22, 1988	May 17, 1988
88-M0110	Jul 31-Aug 5, 1988	May 31, 1988
88-M0111	Aug 14-19, 1988	Jun 14, 1988
88-M0112	Sep 18-23, 1988	Jul 18, 1988

The Changing Correctional Organization

This 24-hour seminar provides correctional executives and managers with selected strategies for successfully implementing organizational change. The program defines the variables that affect organizational change, provides implementation strategies for change initiated internally and externally, and assists participants in developing an individual plan to address their organizational needs.

Who Should Attend

Correctional administrators, managers, chief executive officers, and fiscal managers who are in a position to effect change in their organizations. For this seminar, applicants should attach a letter to the application that describes how the seminar relates to their job responsibilities, how their job position relates to their agency, and past education and training relevant to their jobs.

Seminar Number	Date	Application Due Date
88-M0201	Nov 16-19, 1987	Sep 16, 1987
88-M0202	May 16-19, 1988	Mar 16, 1988

Influencing the External Environment

This 24-hour seminar provides participants with a realistic sense of how to establish and accomplish reasonable objectives in the external arena of corrections. The program defines and clarifies the external environment (e.g., media, legislature, community) and demonstrates its impact on correctional agencies. Strategies are provided to assist participants in managing and influencing the external environment.

Who Should Attend

Correctional administrators, managers, chief executive officers, and fiscal managers who are required to interact with the external environment. For this seminar, applicants should attach a letter to the application that describes how the seminar relates to their job responsibilities, how their job position relates to their agency, and past education and training relevant to their jobs.

Seminar Number	Date	Application Due Date
88-M0203	Apr 25-28, 1988	Feb 25, 1988
88-M0204	Jul 26-29, 1988	May 26, 1988

Legal Issues for Correctional Managers

This 24-hour seminar provides participants with knowledge and skills required to develop and maintain a constitutionally sound correctional organization. Substantive legal information is presented, and participants learn techniques for assessing their organizations and making necessary improvements. They will develop a legal issues action agenda for their agencies based on compliance with legal requirements and standards. The course design provides for active participation through dramatization and information sharing.

Who Should Attend

Correctional administrators, managers, chief executive officers, and legal advisors. For this seminar, applicants should attach a letter to the application that describes how the seminar relates to their job responsibilities, how their job position relates to their agency, and past education and training relevant to their jobs.

Seminar Number	Date	Application Due Date
88-M0205	May 31-Jun 3, 1988	Mar 31, 1988

Executive Seminars

Resource Management for the Future

This 24-hour seminar covers executive issues related to the use of staff, finances, and auditing processes, and overall agency performance in meeting current and future operational needs. It focuses on executive-level planning for the short-term and long-term future.

Who Should Attend

Chief executive officers, agency executive staff, and others responsible for long-range organizational planning and evaluation.

Seminar Number	Date	Application Due Date
88-M0301	Mar 28-31, 1988	Jan 28, 1988

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Management Technologies for the Future

This 24-hour seminar covers the use of technological equipment and systems in information retrieval and decisionmaking. Areas of consideration for the use of technology are staff recordkeeping, financial forecasting and auditing, inmate/client recordkeeping, system to system network application, and system integrity for confidentiality.

Who Should Attend

Chief executive officers, agency executive staff, and others responsible for long-range organizational planning and evaluation.

Seminar Number	Date	Application Due Date
88-M0302	Aug 1-4, 1988	Jun 1, 1988

Academy Special Issue Seminars

Human Resource Management

This 40-hour seminar focuses on practical skill-building exercises to improve the management of human resources. The program covers a range of correctional personnel issues, such as recruiting and hiring employees, career development, discipline, and discharge. The majority of class time is spent in work group exercises; lectures are kept to a minimum.

Who Should Attend

Correctional managers and executives who are responsible for personnel functions within their organizations. For this seminar, applicants should attach a letter to the application that describes how the seminar relates to their job responsibilities, how their job position relates to their agency, and past education and training relevant to their jobs.

Seminar Number	Date	Application Due Date
88-S1001	Jan 17-22, 1988	Nov 17, 1987
88-S1002	May 1-6, 1988	Mar 1, 1988

Orientation to Corrections for Medical Personnel

This 24-hour seminar is designed to orient new medical personnel to the field of corrections and the provision of medical services in secure facilities. The program provides an overview of corrections and covers topics such as the role of the physician/nurse within a secure environment, patient and physician confidentiality, psychological and psychosomatic effects of incarceration, death and dying in a closed environment, and legal issues related to the delivery of medical services.

Who Should Attend

Clinical managers and medical directors working in a prison or jail setting, or agency staff responsible for training medical personnel.

Seminar Number	Date	Application Due Date
88-S1301	Feb 16-19, 1988	Dec 16, 1987

Orientation to Corrections for Chaplains

This 24-hour seminar is designed to orient new correctional chaplains to the field of corrections vis a vis the role of the chaplain. The program provides an overview of corrections and covers topics such as identifying the recipients of chaplaincy services, the chaplain versus pastor role, working within the authority structure of a correctional institution, the place for evangelism in a correctional setting, the denominational imperative, and legal implications and restrictions related to chaplaincy services.

Who Should Attend

Correctional chaplains or agency staff responsible for the training of chaplains.

Seminar Number	Date	Application Due Date
88-S1401	Jun 27-30, 1988	Apr 27, 1988

Problem Analysis for Effective Management Decisions: A Staff Study Model

This 32-hour seminar covers the preparation and presentation of well-researched decision memorandums and briefings on which effective management decisions can be based. The course focuses on the sequential stages of specific problem identification and coordination of facts, obtaining staff input at various organizational levels, reviewing available alternatives, and concisely communicating a recommended solution.

Who Should Attend

Correctional managers who are required to prepare written decision papers in the performance of their work.

Seminar Number	Date	Application Due Date
88-S1501	Nov 30-Dec 4, 1987	Sep 30, 1987
88-S1502	Apr 4-8, 1988	Feb 4, 1988

Community Corrections Division Seminars

Special issue seminars to be conducted at the Academy in Boulder, Colorado, in cooperation with the Institute's Community Corrections Division include:

- Community Corrections Program Management—Sex Offenders.
- Community Corrections Program Management—Economic Sanctions.
- Orientation for New Parole Board Members.
- Policy Adoption Strategies to Control Crowding.
- Building Capacity of Community Corrections Oversight Agencies.

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These courses are described in more detail in the Community Corrections Division section of this document. For further information, contact the National Institute of Corrections, Community Corrections Division, 320 First Street, N.W., Room 200, Washington, D.C. 20534; telephone 202-724-7995.

Prisons Division Seminars

Special issue seminars to be conducted at the Academy in Boulder, Colorado, in cooperation with the Institute's Prisons Division include:

- Prison Security.
- Management of Prison Disturbances and Gangs.
- Prison Education, Vocational Training, Industry, and Work Programs.
- Prison Architectural Design.

These courses are described in more detail in the Prisons Division section of this document. For additional information, contact the National Institute of Corrections, Prisons Division, 320 First Street, N.W., Room 200, Washington, D.C. 20534; telephone 202-724-8300.

Jails Division Seminars

Two special issue seminars—"Jail Design Review and Transition" and "Planning of New Institutions"—will be conducted at the Academy in Boulder, Colorado, in cooperation with the Institute's Jails Division. "Corrections as Part of County Government" will be conducted in three states.

A number of training programs will also be presented in local jurisdictions as part of the ongoing work of the Jails Division:

- Planning of New Institutions.
- How to Open New Institutions.
- Transition Training for Direct-Supervision Jail Staff.
- Managing Podular, Direct-Supervision Jails.
- Mid-Management in Direct-Supervision Jails.

These courses are described in more detail in the Jails Division section of this document. For additional information, contact the National Institute of Corrections, Jails Division, 1790 30th Street, Suite 440, Boulder, Colorado 80301; telephone 303-497-6700.

Trainer Development Series

Training for Staff Trainers

This 40-hour seminar focuses on the development of presentation skills for the classroom trainer. The program covers lesson plan development, the trainer's role, assessing staff training needs, writing performance objectives, the basic principles of adult learning, classroom management, developing an instructional strategy, delivering a complete program, and evaluating classroom instruction. The course is of greatest benefit to full-time trainers, but is also valuable to part-time trainers.

Who Should Attend

Correctional trainers or those designated to be trainers by their agency.

Seminar Number	Date	Application Due Date
88-S0101	Dec 6-11, 1987	Oct 6, 1987
88-S0102	Apr 17-22, 1988	Feb 17, 1988
88-S0103	Aug 21-26, 1988	Jun 21, 1988

Training Administration and Management

This 24-hour seminar is designed for administrators, managers, or coordinators of agency training functions. It focuses on skill-related topics such as budget development, program planning, strategic needs assessment, management and supervision of part-time trainers, scheduling, and calendar management.

Who Should Attend

The state commissioner of corrections for each of the 50 states will be asked to nominate the most appropriate person to attend this course. Applications will be forwarded to those so designated.

Seminar Number	Date	Application Due Date
88-S1101	May 31-Jun 3, 1988	Mar 31, 1988

Training Design and Development

This 40-hour seminar takes a trainer through the process of designing and developing a training program for his or her agency. The main focus is on workgroup-oriented activities; lectures are kept to a minimum. Skills previously acquired through experience as a trainer are refined. Each participant will develop a training program, which will be subsequently evaluated by class members.

Who Should Attend

Experienced correctional staff trainers. Preference will be given to those who have attended the National Academy of Corrections "Training for Staff Trainers" course.

Seminar Number	Date	Application Due Date
88-S1201	Jan 31-Feb 5, 1988	Nov 30, 1987
88-S1202	Jun 5-10, 1988	Apr 5, 1988
88-S1203	Sep 11-16, 1988	Jul 11, 1988

Training for Trainers in Specific Topics

The following courses are designed for staff trainers who are interested in obtaining training packages on these subjects for delivery of training to their agency's staff. Trainers attending

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these courses will receive a comprehensive instructional package for reproduction and use at their home agencies. Most instructional packages consist of an instructor's guide, a student's manual, and supporting audiovisual aids. Participation in these courses requires prior experience as a staff trainer in a correctional setting.

Public and Media Relations: Training for Trainers

This 40-hour course provides staff trainers with a specialized curriculum on public and media relations. Designed for presentation to staff at all levels, the course provides a basic understanding of the concepts, rationale, and individual's role in dealing with the public through multiple media. A supplemental module for public information officers and correctional managers who deal with the media is included.

Who Should Attend

Experienced trainers of correctional employees. Preference will be given to two-person teams consisting of a training officer and an agency public information officer.

Seminar Number	Date	Application Due Date
88-B0301	Feb 21-26, 1988	Dec 21, 1987

Working with Hispanic Offenders: Training for Trainers

This 24-hour course provides staff trainers with an instructional package that promotes a greater understanding of Hispanic cultures and presents techniques for working with Hispanic offenders in all types of correctional settings. Designed for employees at all organizational levels, the course makes extensive use of case studies and a discussional videotape on cultural attitudes of and toward the Hispanic offender. Selected readings and a dictionary of Spanish terminology applicable to corrections are provided. The course is devoted to both content and developing the trainers' skills in presenting the curriculum.

Who Should Attend

Experienced trainers of correctional employees. Preference will be given to applicants from agencies with a particularly strong need for training in this area.

Seminar Number	Date	Application Due Date
88-B0401	Nov 2-5, 1987	Sep 2, 1987

Working with Female Offenders: Training for Trainers

This 36-hour course provides staff trainers with an instructional package designed for employees in all correctional settings who work with female offenders. It covers current trends in programming for the female offender, relevant legal decisions, and the special needs of the female offender. The course explores national and community resources available to meet these special needs and teaches communication skills for managing behavior. Instructional modules address both line staff and supervisory personnel. A supplemental book of selected readings serves as a self-instructional guide for administrators. The course is devoted to both content and developing the trainers' skills in presenting the curriculum.

Who Should Attend

Experienced trainers of correctional employees. Preference will be given to applicants from agencies with a particularly strong need for training in this area.

Seminar Number	Date	Application Due Date
88-B0501	Sep 18-23, 1988	Jul 18, 1988

Academy Outreach Programs—State, Local, and Regional Training

In its effort to make professional training available to the largest number of correctional personnel, the Academy will provide a number of courses at state and local correctional agencies throughout the country and at regional locations.

Application Procedures for Academy Outreach Programs

To request that a training program be conducted at the agency site, the agency's chief executive officer should submit a letter of request on official stationery. The letter must include:

1. The title of the desired course.
2. A statement of need for the training.
3. A statement of impact (number and type of participants that the agency wishes to reach).
4. The facilities available to accommodate the training event.
5. The preferred training dates.
6. A statement acknowledging that all expenses except those of the trainer(s) and training materials are the responsibility of the requesting agency.
7. A description of the criteria to be used in selecting participants, including a plan to actively avoid discrimination based on race, color, national origin, sex, or handicap.

In order to provide training as equitably as possible, letters of request for training at the state or local agency will be reviewed on a quarterly basis. **Therefore, for optimal consideration, letters of request should be received by the Academy at least 60 days prior to the start of the quarter, as follows.**

For Training During Quarter:	Request to be Received by:
October - December 1987	July 31, 1987
January - March 1988	October 31, 1987
April - June 1988	January 31, 1988
July - September 1988	April 30, 1988

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Priority will be given to agencies that exhibit the greatest potential for extending the impact of the training to state and local personnel. Multiple state and/or local agencies applying for joint training will also be given special consideration.

The courses listed on the following pages are available for agency-based delivery. For additional information, contact the National Academy of Corrections, 1790 30th Street, Suite 430, Boulder, Colorado 80301; telephone 303-497-6060.

Organizational Specialty Courses

These courses are intended to improve specific operations within a correctional organization.

Hostage Negotiation

This 40-hour course is designed for individuals designated as a correctional facility's primary hostage negotiator, who may or may not have received previous training. It examines the important factors that operate in correctional hostage incidents and the interventions available. The course emphasizes an integration of negotiation and tactical alternatives, specialized techniques, and hostage survival. Roleplay in simulated hostage situations provides practical exercise in planning and negotiating techniques. The course was developed in cooperation with the Federal Bureau of Prisons.

Problem Analysis for Effective Management Decisions: A Staff Study Model

This 32-hour course covers the preparation and presentation of well-researched decision memorandums and briefings on which effective management decisions can be based. The course focuses on the sequential stages of specific problem identification and coordination of facts, obtaining staff input at various organizational levels, reviewing available alternatives, and concisely communicating a recommended solution.

Skill Development Courses for Trainers

The following courses are designed for staff trainers who are interested in obtaining training packages on these subjects for delivery of training to their agency's staff. Trainers attending these courses will receive a comprehensive instructional package for reproduction and use at their home agencies. Most instructional packages consist of an instructor's guide, a student's manual, and supporting audiovisual aids.

Correctional Supervision: Training for Trainers

This 40-hour course provides skilled staff trainers with an instructional package designed for supervisors in all types of correctional settings. It covers the role and function of the correctional supervisor, interpersonal communications, dealing effectively with employees, civil liabilities, discipline, grievances, and stress management. Each module is designed for incorporation of local procedures and statutory regulations.

Small group and individual activities allow participants to solve hypothetical problems using newly acquired knowledge and skills. Instruction is supplemented with overhead transparencies, suggested flip chart presentations that summarize key concepts, and videotaped vignettes that demonstrate model behavior and techniques. Roleplay stimulates development of skills in using the techniques modeled in the video sequences. Trainers will find this course appropriate for training entry-level correctional supervisors, as well as to provide refresher training.

Interpersonal Communication for Institutional Personnel: Training for Trainers

This 40-hour course provides staff trainers with a comprehensive training package that focuses on developing communication skills needed by institutional staff at all levels to effectively manage inmates, maintain security, and decrease disturbances. It is based on a model used successfully in training correctional professionals throughout the nation. Skills taught include sizing up a situation, getting information through effective questioning, and controlling behavior through effective listening and responding techniques.

The program is structured to make the classroom experience highly interactive. Roleplay allows participants to practice the communication skills being taught, and videotaped vignettes demonstrate effective communication techniques in typical institutional situations. Opportunities are provided for building the trainers' skills in presenting the curriculum also.

Interpersonal Communication for Community Supervision: Training for Trainers

Similar to the "Interpersonal Communication for Institutional Personnel" program, this 40-hour course provides community corrections staff trainers with an instructional package in the effective use of communication skills. Skills taught include sizing up the situation, getting information through effective questioning, and managing behavior through effective listening and responding techniques. The program improves participants' ability to communicate with offenders while also developing necessary helping skills.

The curriculum is structured to make the classroom experience highly interactive. Roleplay allows participants to practice the communication skills being taught, and videotaped vignettes demonstrate effective communication techniques in typical probation and parole situations. Opportunities are provided for building the trainers' skills in presenting the curriculum also.

Legal Issues for Institutional Personnel: Training for Trainers

This 40-hour course provides staff trainers with an instructional package that explores the major legal issues affecting jails and prisons. It covers how the legal system works and focuses on key issues such as inmate and employee rights, institutional crowding, the availability of medical services, and the use of searches. Case studies are included to illustrate specific points of law.

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Designed for both line staff and supervisors, the course includes optional modules for supervisors on the subjects of supervisor liability and contact with the media. The course is devoted to both content and developing the trainers' skills in presenting the curriculum.

Working with Female Offenders: Training for Trainers

This 36-hour course provides staff trainers with an instructional package designed for employees in all correctional settings who work with female offenders. It covers current trends in programming for the female offender, relevant legal decisions, and the special needs of the female offender. The course explores national and community resources available to meet these special needs and teaches communication skills for managing behavior.

Instructional modules address both line staff and supervisory personnel. A supplemental book of selected readings serves as a self-instructional guide for administrators. The course is devoted to both content and developing the trainers' skills in presenting the curriculum.

Disturbance Control: Training for Trainers

This 40-hour course provides staff trainers with the basic skills and techniques needed to train institutional line staff in disturbance control methods. It covers riot formations and the use of batons and chemical agents in handling disturbances. The course includes lecture and practical exercises, and participants practice delivering the training. Developed by the Federal Bureau of Prisons, the course is delivered by Bureau trainers in cooperation with NIC.

Case Management Classification: Training for Trainers

This 40-hour course provides the necessary skills to serve as a trainer in instructing others to use the case management classification system that is an element of the Institute's model probation/parole classification system. Participants will already be knowledgeable about the system.

The case management classification system uses a structured interview and scoring device to help determine appropriate strategies and techniques for supervising and treating individual offenders and to develop individualized case plans. Essential elements of the case management system will be reviewed, but the course primarily focuses on providing participants with skills and training techniques to effectively instruct others in understanding and using the management system when dealing with adult offenders.

Self-Defense: Training for Trainers

This 40-hour course provides staff trainers with the fundamental techniques needed to teach basic self-defense procedures. Demonstrated as effective in control situations, the techniques taught are easily acquired and retained and are not highly dependent on an individual's physical size or strength. The course is presented through lecture, demonstration, and practice of techniques. Developed by the Federal Bureau of Prisons, the course is delivered by Bureau trainers in cooperation with NIC.

Federal Bureau of Prisons Co-Sponsored Courses

The Academy will co-sponsor a number of courses with the Federal Bureau of Prisons. These courses will be held at the Federal Law Enforcement Training Center in Glynco, Georgia, and at the Management Training Center in Aurora, Colorado. Topic areas will be jointly determined by the Academy and Bureau of Prisons training staff and will be announced separately.

In some cases, the Academy will be allocated a number of slots in ongoing Bureau of Prisons' courses, while, in the case of specialty courses such as "Locksmithing," special offerings will be provided for Academy-sponsored participants. The National Institute of Corrections will cover costs associated with travel and per diem for state and local Academy-sponsored participants.

For additional information regarding the courses to be offered, contact the National Academy of Corrections, 1790 30th Street, Suite 430, Boulder, Colorado 80301; telephone 303-497-6060.

Other Academy Activities

Curriculum Development

For the past several years, the Academy has been working with the federal Office of Personnel Management to develop new training curriculums. During fiscal year 1988, curriculums will be developed on the subjects of "Personal Crisis Intervention in the Correctional Setting," "Staff Selection Tools for Managers," and "Legal Issues for Community Corrections Personnel: Training for Trainers." Three new curriculum packages to train trainers in both institutional and community corrections settings will be developed on the subjects of "How to Apply Cross-Sex Supervision," "Working with Emotionally Disturbed Offenders," and "Working with Black Offenders."

Additionally, the Academy's current "Correctional Supervision" curriculum package will be updated and revised. Two Federal Bureau of Prisons training programs—"Hostage Negotiation" and "Disturbance Control"—will be developed into curriculum packages for state and local use also.

Development of New Training Technology

During fiscal year 1987, the Academy began exploring the use of technology in the delivery of training programs. A computer-managed, interactive video training module on report writing was developed in cooperation with the Federal Bureau of Prisons. With the funds allocated to training technology in fiscal year 1988, the Academy will continue this effort, as well as

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develop computer-assisted training programs. Topics under consideration include correctional interpersonal communication, and key control.

National Correctional Training Network

Through the services of the NIC Information Center, the Academy has developed a national Correctional Training Network to serve as a coordination point for the collection and dissemination of staff training curriculums developed by the Academy and by state and local correctional agencies. The Network facilitates the exchange of training manuals and audiovisual materials and allows agencies to adapt training materials developed elsewhere, rather than create their own programs in the same subject areas.

Curriculum materials placed in the Correctional Training Network are available on loan for up to 30 days. A catalog describing the Network holdings and lending procedures, along with quarterly updates, is available to interested state and local correctional agencies.

Academy-developed training materials are available for loan on the subjects of **Public and Media Relations, Working with Hispanic Offenders, Interpersonal Communication for Institutional Personnel, Interpersonal Communication for Community Supervision, Correctional Supervision, Legal Issues for Institutional Personnel,** and **Working with Female Offenders.** These curriculum packages consist of a participant's manual, an instructor's manual, and audiovisual aids, as appropriate. The materials can be duplicated and/or adapted by the state or local agency for its internal training purposes.

State and local correctional agencies are encouraged to submit exemplary curriculum packages for possible inclusion in the Correctional Training Network collection. If selected, these training materials will be distributed through the NIC Information Center.

For more information about the Correctional Training Network or to obtain a copy of the catalog of materials available, contact the Network coordinator at the NIC Information Center, 1790 30th Street, Suite 130, Boulder, Colorado 80301; telephone 303-444-1101.

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NATIONAL INSTITUTE OF CORRECTIONS
National Academy of Corrections
Individual Application for Training

To apply, simply fill in the form below, sign, obtain the necessary endorsement, and mail to the National Academy of Corrections at least *eight weeks* prior to the course beginning.

Date of Application _____

1. Name _____
2. Social Security No. _____
3. Title _____
4. Agency _____
5. Street Address _____
6. City _____ 7. County _____
8. State _____ 9. Zip Code _____
10. Telephone (_____) _____

11. Specify Type of Agency (check one):
   - ____ 1. Federal
   - ____ 2. State
   - ____ 3. Local
   - ____ 4. Regional
   - ____ 5. Commonwealth, Territory, etc.
   - ____ 6. Foreign
   - ____ 7. Private, for profit
   - ____ 8. Private, not for profit

12. Indicate Primary Area of Corrections (check one):
   - ____ 1. Adult Jail
   - ____ 2. Adult Community Corrections
   - ____ 3. Adult Prison
   - ____ 4. Staff Training
   - ____ 5. Other (Specify) _____

13. Indicate Size of Agency or Institution:
   No. of inmates or clients _____
   No. of staff _____

It is the policy of the National Institute of Corrections to ensure that no individual is discriminated against on the basis of race, color, national origin, sex, or handicap in programs or activities funded or conducted by the Institute. To help ensure that the aforementioned protected classes of people are fairly represented in Institute training programs, we are asking the following optional questions numbered 14–16.

---

14. (Optional): Gender ____ M ____ F

15. (Optional): Race
   - ____ a. Amer. Indian
   - ____ b. Asian
   - ____ c. Black
   - ____ d. Hispanic
   - ____ e. White
   - ____ f. Other

16. (Optional): Handicapped
   - ____ a. Visually Impaired
   - ____ b. Hearing Impaired
   - ____ c. Physically Impaired
   - ____ d. Other

17. Briefly describe your present position, including number of staff you supervise or train. _____

18. Briefly describe how the requested seminar will support your current responsibilities or future agency goals. _____

INDICATE SPECIFIC SEMINAR TITLE, NUMBER, AND DATE.

19. Seminar Title _____
20. Seminar Number _____ 21. Seminar Date _____
22. Is the desired training designed for team participation? ____ Yes ____ No. If **yes,** send applications for all team members together.

Mail the completed application to:

National Institute of Corrections
National Academy of Corrections
1790 30th Street, Suite 430
Boulder, Colorado 80301

I understand that I will be required to reside at the training site for the duration of the course and that lodging and meals will be provided.

_____
Signature of Applicant

Applicants accepted will receive confirmation and additional information about the seminar.

NOMINATION/ENDORSEMENT
By Chief Executive Officer or Administrator

I recommend _____ for participation in the National Institute of Corrections training program for which this application is being submitted. This nomination is made on the basis that the candidate will be in a position to effect improvement in our organization. The information above is accurate and complete.

_____
Signature of Nominator

_____
Title of Nominator

_____
(Type or Print Name)

_____
Telephone (include area code)

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OMB STANDARD FORM 424, FINANCIAL ASSISTANCE

OMB Approval No. 0348-0008

FEDERAL ASSISTANCE

SECTION I—APPLICANT/RECIPIENT DATA

1. TYPE OF SUBMISSION (Mark appropriate box)
- ☐ NOTICE OF INTENT (OPTIONAL)
- ☐ PREAPPLICATION
- ☐ APPLICATION

2. APPLICANT'S APPLICATION IDENTIFIER
- a. NUMBER
- b. DATE (Year month day) 19

3. STATE APPLICATION IDENTIFIER (NOTE TO BE ASSIGNED BY STATE)
- a. NUMBER
- b. DATE ASSIGNED (Year month day) 19

Leave Blank

4. LEGAL APPLICANT/RECIPIENT
- a. Applicant Name
- b. Organization Unit
- c. Street/P.O. Box
- d. City
- e. County
- f. State
- g. ZIP Code
- h. Contact Person (Name & Telephone No.)

5. EMPLOYER IDENTIFICATION NUMBER (EIN)

6. PROGRAM (From CFDA)
- a. NUMBER [| | • | | |]
- MULTIPLE ☐
- b. TITLE

7. TITLE OF APPLICANT'S PROJECT (Use section IV of this form to provide a summary description of the project.)

8. TYPE OF APPLICANT/RECIPIENT
A—State; B—Interstate; C—Substate Organization; D—County; E—City; F—School District; G—Special Purpose District; H—Community Action Agency; I—Higher Educational Institution; J—Indian Tribe; K—Other (Specify)
Enter appropriate letter ☐

9. AREA OF PROJECT IMPACT (Names of cities, counties, states, etc.)

10. ESTIMATED NUMBER OF PERSONS BENEFITING

11. TYPE OF ASSISTANCE
A—Basic Grant; B—Supplemental Grant; C—Loan; D—Insurance; E—Other
Enter appropriate letter(s) ☐☐

12. PROPOSED FUNDING

a. FEDERAL	$	00
b. APPLICANT		00
c. STATE		00
d. LOCAL		00
e. OTHER		00
f. Total	$	00

13. CONGRESSIONAL DISTRICTS OF
- a. APPLICANT
- b. PROJECT

14. TYPE OF APPLICATION
A—New; B—Renewal; C—Revision; D—Continuation; E—Augmentation
Enter appropriate letter ☐

15. PROJECT START DATE (Year month day) 19

16. PROJECT DURATION (Months)

17. TYPE OF CHANGE (For 14c or 14e)
A—Increase Dollars; B—Decrease Dollars; C—Increase Duration; D—Decrease Duration; E—Cancellation; F—Other (Specify)
Enter appropriate letter(s) ☐☐

18. DATE DUE TO FEDERAL AGENCY ► (Year month day) 19

19. FEDERAL AGENCY TO RECEIVE REQUEST: National Institute of Corrections
- a. ORGANIZATIONAL UNIT (IF APPROPRIATE)
- b. ADMINISTRATIVE CONTACT (IF KNOWN)
- c. ADDRESS: 320 First Street, N.W. Washington DC 20534

20. EXISTING FEDERAL GRANT IDENTIFICATION NUMBER

21. REMARKS ADDED ☐ Yes ☐ No

SECTION II—CERTIFICATION

22. THE APPLICANT CERTIFIES THAT► To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.
- a. YES. THIS NOTICE OF INTENT/PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____
- b. NO. PROGRAM IS NOT COVERED BY E.O. 12372 ☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW ☐

23. CERTIFYING REPRESENTATIVE
- a. TYPED NAME AND TITLE
- b. SIGNATURE

SECTION III—FEDERAL AGENCY ACTION

24. APPLICATION RECEIVED (Year month day) 19

25. FEDERAL APPLICATION IDENTIFICATION NUMBER

26. FEDERAL GRANT IDENTIFICATION

27. ACTION TAKEN
- ☐ a. AWARDED
- ☐ b. REJECTED
- ☐ c. RETURNED FOR AMENDMENT
- ☐ d. RETURNED FOR E.O. 12372 SUBMISSION BY APPLICANT TO STATE
- ☐ e. DEFERRED
- ☐ f. WITHDRAWN

28. FUNDING

a. FEDERAL	$	00
b. APPLICANT		00
c. STATE		00
d. LOCAL		00
e. OTHER		00
f. TOTAL	$	00

29. ACTION DATE► (Year month day) 19

30. STARTING DATE (Year month date) 19

31. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)

32. ENDING DATE (Year month date) 19

33. REMARKS ADDED ☐ Yes ☐ No

NSN 7540-01-008-8162
PREVIOUS EDITION IS NOT USABLE

424-103

STANDARD FORM 424 PAGE 1 (Rev. 4-84)
Prescribed by OMB Circular A-102

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DETACH AND AS NECESSARY, STAPLE TO ABOVE SHEET.

SECTION IV—REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

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GENERAL INSTRUCTIONS FOR THE SF-424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted in accordance with OMB Circular A-102. It will be used by Federal agencies to obtain applicant certification that states which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process have been given an opportunity to review the applicant's submission.

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I with the exception of Box 3, "State Application Identifier." If an item is not applicable, write "NA." If additional space is needed, insert an asterisk "*," and use Section IV. An explanation follows for each item:

Item

1. Mark appropriate box. Preapplication and application are described in OMB Circular A-102 and Federal agency program instructions. Use of this form as a Notice of Intent is at State option. Federal agencies do not require Notices of Intent.

2a. Applicant's own control number, if desired.

2b. Date Section I is prepared (at applicant's option).

3a. Number assigned by State.

3b. Date assigned by State.

4a–4h. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of the person who can provide further information about this request.

5. Employer Identification Number (EIN) of applicant as assigned by the Internal Revenue Service.

6a. Use Catalog of Federal Domestic Assistance (CFDA) number assigned to program under which assistance is requested. If more than one program (e.g., joint funding), check "multiple" and explain in Section IV. If unknown, cite Public Law or U.S. Code.

6b. Program title from CFDA. Abbreviate if necessary.

7. Use Section IV to provide a summary description of the project. If appropriate, i.e., if project affects particular sites as, for example, construction or real property projects, attach a map showing the project location.

8. "City" includes town, township or other municipality.

9. List only largest unit or units affected, such as State, county, or city.

10. Estimated number of persons directly benefiting from project.

11. Check the type(s) of assistance requested.

   A. Basic Grant—an original request for Federal funds.

   B. Supplemental Grant—a request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).

   E. Other. Explain in Section IV.

12. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation under item 14), indicate only the amount of the change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in Section IV. For multiple program funding, use totals and show program breakouts in Section IV. 12a—amount requested from Federal Government. 12b—amount applicant will contribute. 12c—amount from State, if applicant is not a State. 12d—amount from local government, if applicant is not a local government. 12e—amount from any other sources, explain in Section IV.

13b. The district(s) where most of action work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."

14. A. New. A submittal for project not previously funded.

   B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.

   C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).

   D. Continuation. An extension for an additional funding/budget period for a project with a projected completion date.

   E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.

15. Approximate date project expected to begin (usually associated with estimated date of availability of funding).

16. Estimated number of months to complete project after Federal funds are available.

17. Complete only for revisions (item 14c), or augmentations (item 14e).

18. Date preapplication/application must be submitted to Federal agency in order to be eligible for funding consideration.

19. Name and address of the Federal agency to which this request is addressed. Indicate as clearly as possible the name of the office to which the application will be delivered.

20. Existing Federal grant identification number if this is not a new request and directly relates to a previous Federal action. Otherwise, write "NA."

21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete either item 22a or 22b *and* items 23a and 23b.

22a. Complete if application is subject to Executive Order 12372 (State review and comment).

22b. Check if application is not subject to E.O. 12372.

23a. Name and title of authorized representative of legal applicant.

FEDERAL AGENCY PROCEDURES FOR SECTION III

Applicant completes only Sections I and II. Section III is completed by Federal agencies.

26. Use to identify award actions.

27. Use Section IV to amplify where appropriate.

28. Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation under item 14), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in Section IV. For multiple program funding, use totals and show program breakouts in Section IV. 28a—amount awarded by Federal Government. 28b—amount applicant will contribute. 28c—amount from State, if applicant is not a State. 28d—amount from local government, if applicant is not a local government. 28e—amount from any other sources, explain in Section IV.

29. Date action was taken on this request.

30. Date funds will become available.

31. Name and telephone number of agency person who can provide more information regarding this assistance.

32. Date after which funds will no longer be available for obligation.

33. Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.

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PART II

PROJECT APPROVAL INFORMATION

Item 1.
Does this assistance request require State, local, regional, or other priority rating?
_____ Yes _____ No

Name of Governing Body _____
Priority Rating _____

Item 2.
Does this assistance request require State, or local advisory, educational or health clearances?
_____ Yes _____ No

Name of Agency or Board _____
(Attach Documentation)

Item 3.
Does this assistance request require clearinghouse review in accordance with OMB Circular A-95?
_____ Yes _____ No

(Attach Comments)

Item 4.
Does this assistance request require State, local, regional or other planning approval?
_____ Yes _____ No

Name of Approving Agency _____
Date _____

Item 5.
Is the proposed project covered by an approved comprehensive plan?
_____ Yes _____ No

Check one: State ☐
Local ☐
Regional ☐
Location of Plan _____

Item 6.
Will the assistance requested serve a Federal installation?
_____ Yes _____ No

Name of Federal Installation _____
Federal Population benefiting from Project _____

Item 7.
Will the assistance requested be on Federal land or installation?
_____ Yes _____ No

Name of Federal Installation _____
Location of Federal Land _____
Percent of Project _____

Item 8.
Will the assistance requested have an impact or effect on the environment?
_____ Yes _____ No

See instructions for additional information to be provided.

Item 9.
Will the assistance requested cause the displacement of individuals, families, businesses, or farms?
_____ Yes _____ No

Number of:
Individuals _____
Families _____
Businesses _____
Farms _____

Item 10.
Is there other related assistance on this project previous, pending, or anticipated?
_____ Yes _____ No

See instructions for additional information to be provided.

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INSTRUCTIONS

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

Item 1 – Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 – Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 – Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 – Furnish the name of the approving agency and the approval date.

Item 5 – Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 – Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 – Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 – Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 – State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 – Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

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OMB NO. 80-R0180

PART III – BUDGET INFORMATION

SECTION A – BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. TOTALS		$	$	$	$	$

SECTION B – BUDGET CATEGORIES

6. Object Class Categories	– Grant Program, Function or Activity				Total
	(1)	(2)	(3)	(4)	(5)
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	$	$	$	$	$
7. Program Income	$	$	$	$	$

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PART III

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may not require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary
Lines 1-4, Columns (a) and (b).

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to *multiple* programs where *none* of the programs *require* a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period *only* if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should *not* equal the sum of amounts in Columns (e) and (f).

Line 5 – Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h – Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i – Show the totals of Lines 6a to 6h in each column.

Line 6j – Show the amount of indirect cost. Refer to Office of Management and Budget Circular No. A-87.

Line 6k – Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Line 7 – Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

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SECTION C – NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTALS	$	$	$	$

SECTION D – FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$	$	$	$	$
14. Non-Federal					
15. TOTAL	$	$	$	$	$

SECTION E – BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16.	$	$	$	$
17.				
18.				
19.				
20. TOTALS	$	$	$	$

SECTION F – OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

PART IV PROGRAM NARRATIVE (Attach per instruction)

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INSTRUCTIONS

PART III
(continued)

Section C. Source of Non-Federal Resources

Lines 8-11 – Enter amounts of non-Federal resources that will be used on the grant. (See attachment F, Office of Management and Budget Circular No. A-102.) See Instructions this page.

Column (a) – Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) – Enter the amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, Office of Management and Budget Circular No. A-102.)

Column (c) – Enter the State contribution if the applicant is *not* a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) – Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) – Enter totals of Columns (b), (c), and (d).

Line 12 – Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 – Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 – Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 – Enter the totals of amounts on Lines 13 and 14.

Section E Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 – Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuing grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This Section need not be completed for amendments, changes, or supplements to funds for the current year of existing grants.

If more than four lines are needed to list the program titles submit additional schedules as necessary.

Line 20 – Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F – Other Budget Information.

Line 21 – Use this space to explain amounts for individual direct object cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 – Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 – Provide any other explanations required herein or any other comments deemed necessary.

Instructions

Applicants must provide on a separate sheet(s) a budget narrative which will detail by budget category, the federal and nonfederal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a state or local unit of government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

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PART IV
PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for using this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

b. Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.

d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.

b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary explain the circumstances and justify. If the total budget has been exceeded, or if individual budget items have changed more than the prescribed limits contained in Attachment K to Office of Management and Budget Circular No. A-102, explain and justify the change and its effect on the project.

c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

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PART V

ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines, and requirements including OMB Circulars Nos. A-87, A-95, and A-102, as they relate to the application, acceptance and use of Federal funds for this Federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.

2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.

3. It will comply with the provisions of 28 C.F.R. 42.101 et seq. prohibiting discrimination based on race, color or national origin by or through its contractual arrangements. If the grantee is an institution or a governmental agency, office or unit then this assurance of nondiscrimination by race, color or national origin extends to discrimination anywhere in the institution or governmental agency, office, or unit.

4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with Office of Management and Budget Circular No. A-102.

10. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.

11. It will comply with the flood insurance purchase requirements of Section 102 (a) of the Flood Disaster Protection Act of 1973. Public Law 93-234. 87 Stat. 975, approved December 31, 1976. Section 102 (a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards.

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The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.

12. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 U.S.C. 470), Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 U.S.C. 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

13. An award or portion thereof, is conditional upon subsequent Congressional or Executive action which may result from Federal budget deferral or recision actions pursuant to the authority contained in Sections 1012 (A) and 1013 (A) of the Congressional Budget and Impoundment Control Act of 1974, 31 U.S.C. 1301, P.L. 93344, 88 Stat. 297 (July 12, 1979).

14. The grantee and contractor will comply with the provision of 20 USC Sec. 1681, 1682 which prohibits discrimination based on sex and participants shall not be excluded from participation, be denied the benefits of, or be otherwise subjected to discrimination based on sex under any program or activity funded by NIC.

15. A Grantee agrees to insure adherence to (i) such reporting requirements as may be established by the National Institute of Corrections including the requirements for quarterly financial and other progress reports prescribed by the Institute; (ii) administrative and financial administration requirements as set forth by the National Institute of Corrections.

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National Institute of Corrections

320 First Street, N.W.
Washington, D.C. 20534

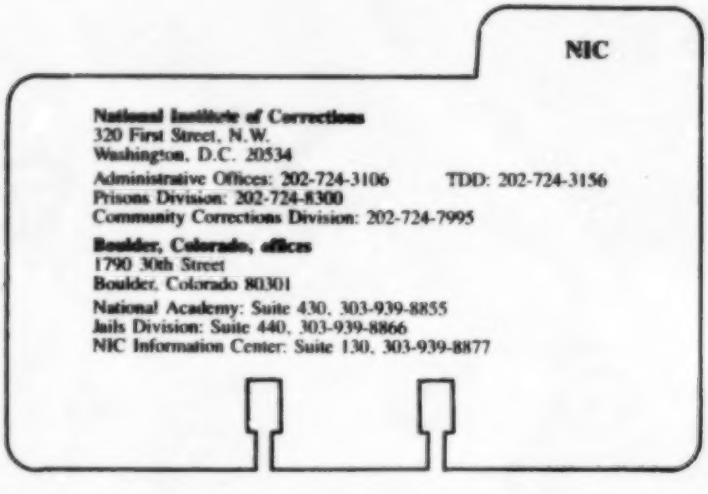
Administrative Offices: 202-724-3106
TDD for Hearing Impaired: 202-724-3156
Financial Management Offices: 202-724-3110
Grants Control: 202-724-8449
Prisons Division: 202-724-8300
Community Corrections Division: 202-724-7995

National Institute of Corrections

1790 30th Street
Boulder, Colorado 80301
Jails Division, Suite 440: 303-497-6700
National Academy of Corrections, Suite 430: 303-497-6060

NEW TELEPHONE NUMBERS

Effective October 1, 1987, the telephone numbers for the Boulder, Colorado, offices of the National Institute of Corrections will change. The new numbers will be 303-939-8855 for the Academy; 303-939-8866 for the Jails Division; and 303-939-8877 for the NIC Information Center. The file card below reflects the new numbers, as well as those of the Institute's Washington, D.C. offices.



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